



**Federal Railroad Administration
OFFICE OF CHIEF COUNSEL
Safety Law Division**

**RAILROAD SAFETY CIVIL PENALTY CASES
CLOSED DURING FISCAL YEAR 2009**

This report summarizes the disposition of all civil penalty cases on which the Federal Railroad Administration (FRA) reached an agreement to collect, or issued an order requiring the payment of, a civil penalty during fiscal year 2009 under the Federal railroad safety statutes and regulations. Cases were closed under most of these statutes by agreements of settlement, and under the hazardous materials transportation laws (HMT) generally by final orders of assessment. Total penalty settlements and final assessments against companies, summarized in this report, were as follows:

| | |
|---------------------------------------|---------------------|
| Railroad safety statutes (except HMT) | \$11,465,555 |
| HMT | \$4,011,205 |
| Total Civil Penalties | \$15,476,760 |

FRA collected no civil penalty settlements or final assessments from individuals for alleged violations of the railroad safety laws.

The Federal Railroad Safety Statutes and Regulations

In the 1890s, Congress began regulating the railroad industry for safety purposes by enacting narrowly drawn laws to deal with discrete rail safety issues such as safety appliances and locomotive inspection. Having determined the need for more comprehensive regulation, Congress enacted the Federal Railroad Safety Act of 1970 (FRSA), which granted rulemaking authority over "all areas of railroad safety." FRA has exercised this authority by issuing a wide variety of rail safety regulations. See Parts 209 through 244 of Title 49 of the Code of Federal Regulations. Civil penalties are an important means of enforcing those regulations and the safety statutes.

In 1975, the Hazardous Materials Transportation Act (HMTA) added civil penalties to the criminal penalties already available for hazardous materials violations. HMTA regulations, although issued by the Department of Transportation's (DOT's) Pipeline and Hazardous Materials Safety Administration, are generally enforced by the DOT administration responsible for each mode of transportation, e.g., by FRA in cases involving the transportation or shipment of hazardous materials by rail. In 1994, Congress repealed the FRSA, HMTA, and other Federal railroad safety statutes and recodified them in title 49 of the United States Code, chapters 51 and 201-213.

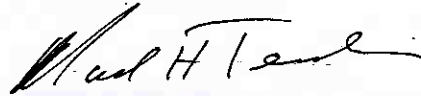
The Civil Penalty Process

In aid of their efforts to promote safety compliance, inspectors employed by FRA and participating States submit reports alleging violations of Federal safety laws and regulations to the Safety Law Division of the Office of Chief Counsel. This Division reviews the reports for legal sufficiency, aggregates those of one type containing one or more alleged violations into a single case, assesses a penalty for each alleged violation, and transmits the case to the railroad, shipper, individual, or other entity under a penalty demand letter or, if an HMT case, a Notice of Probable Violation. After a respondent in such a case has conducted its own investigation, and unless the respondent decides to simply pay the full amount of the initial assessment, negotiations are held, during which the respondent presents defenses or arguments in mitigation and offers of settlement or final assessment are exchanged. In these negotiations, FRA focuses on applying the statutory assessment criteria to the facts of each case. When an agreement is reached, payment is generally due within 30 days of its execution. A more detailed statement of this process and FRA's enforcement policies is included in 49 CFR Part 209, Appendix A. Where settlement cannot be reached, cases are referred to the Department of Justice for litigation. The Attorney General, with FRA's active participation, brings suit in the appropriate Federal court.

HMT cases are normally concluded by issuance of an order of assessment predicated on a finding of a knowing violation. Where an HMT case cannot be resolved informally, a respondent is entitled to a formal hearing on FRA's allegations before a hearing officer designated by the Chief Counsel and then to an appeal to the Federal Railroad Administrator prior to judicial litigation.

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FRA ordinarily closes the vast majority of its civil penalty cases without need for litigation, which is consistent with the rail safety statutory scheme that promotes compromise based on specified settlement criteria. The negotiation process takes into account the strengths and weaknesses of each case and the overall goals of the safety program. We believe that collection of these penalties, while just one of many compliance tools FRA uses, contributes significantly to improving regulatory compliance and achieving safety program goals.

A handwritten signature in black ink, appearing to read "Mark H. Tessler", with a stylized, flowing script.

**Mark H. Tessler
Assistant Chief Counsel
for Safety**

Abbreviations Used in this Report

The type of violation alleged in each civil penalty case can be identified using the following codes, one of which appears as a suffix to each case number:

| | |
|-----|--|
| AD | ALCOHOL AND DRUG USE REGULATIONS |
| AR | ACCIDENT REPORTS REGULATIONS |
| BW | BRIDGE WORKER SAFETY STANDARDS |
| EO | FRA EMERGENCY ORDER NO. 24/26 |
| EP | RAILROAD SAFETY ENFORCEMENT PROCEDURES |
| EQ | ENGINEER QUALIFICATIONS REGULATIONS |
| FCS | FREIGHT CAR SAFETY STANDARDS |
| GC | GRADE CROSSING SIGNAL SAFETY REGULATIONS |
| GS | SAFETY GLAZING STANDARDS |
| HMT | HAZARDOUS MATERIALS REGULATIONS |
| HS | HOURS OF SERVICE LAWS |
| HSR | HOURS OF SERVICE RECORD KEEPING REGULATIONS |
| LI | LOCOMOTIVE SAFETY STANDARDS AND STATUTES |
| PEP | PASSENGER TRAIN EMERGENCY PREPAREDNESS REGULATIONS |
| PEQ | PASSENGER EQUIPMENT SAFETY STANDARDS |
| REM | REAR END MARKING DEVICES REGULATIONS |
| ROP | RAILROAD OPERATING PRACTICES |
| ROR | RAILROAD OPERATING RULES |
| RSP | RAILROAD COMMUNICATIONS REGULATIONS |
| RW | ROADWAY WORKER PROTECTION REGULATIONS |
| SA | SAFETY APPLIANCE STATUTES AND REGULATIONS |
| SI | SIGNAL INSPECTION REGULATIONS AND STATUTES |
| TH | TRAIN HORN/QUIET ZONE |
| TS | TRACK SAFETY STANDARDS |

Railroads and other respondents are identified by a code (see the legend provided), which appears as the letters at the beginning of the case number. Hazardous materials and emergency order cases involving shippers are identified by a case number beginning with the letter "Z." Cases involving contractors are identified by a case number beginning with the letter "X". The column labeled "POCA" shows the initial penalty assessed in the case. The column labeled "PRCA" shows the total amount of the initial assessment for alleged violations on which FRA concluded it would probably be able to sustain its burden of proof if the case were litigated. PRCA is equal to POCA, therefore, except in two situations. First, if FRA concluded that one or more of the violations initially alleged could likely not be sustained, such violations are considered terminated. Second, if FRA decided that the violation could be sustained but that the initial penalty assessment for the violation was incorrect, the penalty amount is corrected, and the violation is described as "partially terminated." Cases against individuals (who are liable for civil penalties for willful violations) are identified by the prefix "Indpen" and are listed separately. The "comments" column shows the violation number of terminated or partially terminated violations.

**FRA Civil Penalty Cases against Individuals
Closed in Fiscal Year 2009**

| <u>FRA No.</u> | <u>Initial Penalty Demanded</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> |
|-----------------------|--|---------------------------------|-------------------------------|
|-----------------------|--|---------------------------------|-------------------------------|

None

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|-------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|------------------|
| AA 2008-1(SA) | 1 | \$5,000 | \$5,000 | \$2,500 | 02/05/2009 | |
| AA 2008-2(SA) | 1 | \$2,500 | \$2,500 | \$1,250 | 02/05/2009 | |
| ABS 2007-1(TS) | 2 | \$10,000 | \$10,000 | \$7,200 | 09/11/2009 | |
| ABS 2007-2(TS) | 2 | \$6,000 | \$6,000 | \$4,320 | 09/11/2009 | |
| ABS 2008-1(TS) | 1 | \$5,000 | \$5,000 | \$3,700 | 09/11/2009 | |
| ABS 2008-2(LI) | 3 | \$6,000 | \$6,000 | \$4,560 | 09/11/2009 | |
| ALS 2009-1(FCS) | 1 | \$2,500 | \$2,500 | \$2,500 | 06/30/2009 | |
| ALS 2009-2(SA) | 1 | \$2,500 | \$2,500 | \$2,500 | 07/20/2009 | |
| AM 2008-1(LI) | 1 | \$5,000 | \$5,000 | \$3,350 | 05/06/2009 | |
| AM 2008-2(SA) | 1 | \$5,000 | \$5,000 | \$3,200 | 05/06/2009 | |
| AOK 2008-1(TS) | 2 | \$7,500 | \$7,500 | \$7,500 | 06/21/2009 | |
| AOK 2008-2(TS) | 1 | \$2,500 | \$2,500 | \$2,500 | 06/21/2009 | |
| AOK 2009-1(TS) | 1 | \$5,000 | \$5,000 | \$5,000 | 06/01/2009 | |
| AOK 2009-2(TS) | 2 | \$5,000 | \$5,000 | \$5,000 | 06/08/2009 | |
| ARR 2008-6(SA) | 1 | \$2,500 | \$2,500 | \$1,600 | 04/23/2009 | |
| ARZC 2007-1(GC) | 1 | \$2,500 | \$2,500 | \$1,800 | 04/20/2009 | |
| AVR 2009-1(GC) | 2 | \$2,000 | \$2,000 | \$2,000 | 02/18/2009 | |
| AVR 2009-2(EQ) | 1 | \$1,000 | \$1,000 | \$650 | 02/18/2009 | |
| AWRR 2008-1(SA) | 1 | \$5,000 | \$5,000 | \$3,550 | 09/11/2009 | |
| AWRR 2008-2(SA) | 4 | \$10,000 | \$10,000 | \$6,900 | 09/11/2009 | |
| AZER 2007-1(TS) | 5 | \$14,500 | \$14,500 | \$9,715 | 12/10/2008 | |
| AZER 2007-2(TS) | 2 | \$10,000 | \$10,000 | \$6,700 | 12/10/2008 | |
| AZER 2007-3(LI) | 1 | \$2,500 | \$2,500 | \$1,625 | 12/10/2008 | |
| BB 2007-1(SA) | 1 | \$2,500 | \$2,500 | \$1,625 | 01/14/2009 | |
| BB 2007-2(EQ) | 1 | \$1,000 | \$1,000 | \$550 | 01/14/2009 | |
| BB 2007-3(TS) | 1 | \$5,000 | \$5,000 | \$3,250 | 01/14/2009 | |
| BB 2008-1(TS) | 1 | \$1,000 | \$1,000 | \$650 | 01/14/2009 | |
| BB 2008-2(SA) | 1 | \$2,500 | \$2,500 | \$1,625 | 01/14/2009 | |
| BNSF 2004-27(AR) | 1 | \$2,500 | \$0 | \$0 | 09/11/2009 | Case Terminated. |
| BNSF 2005-48(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-102(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-103(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-13(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-176(AR) | 1 | \$2,500 | \$0 | \$0 | 09/11/2009 | Case Terminated. |
| BNSF 2006-190(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-223(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-254(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-259(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-275(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-321(AR) | 3 | \$7,500 | \$7,500 | \$2,970 | 09/11/2009 | |
| BNSF 2006-333(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-338(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-356(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-357(SI) | 1 | \$5,000 | \$5,000 | \$3,450 | 09/30/2009 | |
| BNSF 2006-375(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-376(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-377(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-378(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-379(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|--------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|------------------|
| BNSF 2006-380(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-381(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-382(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-383(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-384(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-385(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-386(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-387(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-388(AR) | 1 | \$2,500 | \$0 | \$0 | 09/11/2009 | Case Terminated. |
| BNSF 2006-389(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-390(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-391(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-392(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-393(AR) | 1 | \$2,500 | \$0 | \$0 | 09/11/2009 | Case Terminated. |
| BNSF 2006-394(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-395(AR) | 1 | \$2,500 | \$0 | \$0 | 09/11/2009 | Case Terminated. |
| BNSF 2006-396(AR) | 1 | \$2,500 | \$0 | \$0 | 09/11/2009 | Case Terminated. |
| BNSF 2006-397(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-398(AR) | 1 | \$2,500 | \$0 | \$0 | 09/11/2009 | Case Terminated. |
| BNSF 2006-399(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-44(AR) | 1 | \$2,500 | \$0 | \$0 | 09/11/2009 | Case Terminated. |
| BNSF 2006-68(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-77(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2006-99(AR) | 1 | \$2,500 | \$0 | \$0 | 09/11/2009 | Case Terminated. |
| BNSF 2007-132(AR) | 2 | \$5,000 | \$0 | \$0 | 09/11/2009 | Case Terminated. |
| BNSF 2007-225(ROP) | 1 | \$2,500 | \$0 | \$0 | 09/30/2009 | Case Terminated. |
| BNSF 2007-231(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2007-243(SA) | 3 | \$12,500 | \$12,500 | \$7,750 | 09/30/2009 | |
| BNSF 2007-250(SA) | 1 | \$5,000 | \$5,000 | \$3,200 | 09/30/2009 | |
| BNSF 2007-253(TS) | 14 | \$65,000 | \$65,000 | \$43,000 | 09/30/2009 | |
| BNSF 2007-257(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2007-263(SA) | 4 | \$12,500 | \$12,500 | \$7,750 | 09/30/2009 | |
| BNSF 2007-264(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-270(TS) | 4 | \$5,500 | \$5,500 | \$3,500 | 09/30/2009 | |
| BNSF 2007-274(TS) | 6 | \$20,000 | \$20,000 | \$13,250 | 09/30/2009 | |
| BNSF 2007-275(FCS) | 2 | \$5,000 | \$5,000 | \$3,130 | 09/30/2009 | |
| BNSF 2007-277(HS) | 1 | \$1,000 | \$1,000 | \$600 | 09/30/2009 | |
| BNSF 2007-278(SA) | 2 | \$22,000 | \$22,000 | \$13,500 | 09/30/2009 | |
| BNSF 2007-279(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-286(HMT) | 1 | \$3,000 | \$3,000 | \$1,915 | 09/30/2009 | |
| BNSF 2007-287(SA) | 4 | \$15,000 | \$15,000 | \$9,250 | 09/30/2009 | |
| BNSF 2007-295(TS) | 1 | \$2,500 | \$2,500 | \$1,625 | 09/30/2009 | |
| BNSF 2007-297(TS) | 3 | \$10,000 | \$10,000 | \$6,600 | 09/30/2009 | |
| BNSF 2007-299(HSR) | 1 | \$1,000 | \$1,000 | \$625 | 09/30/2009 | |
| BNSF 2007-308(TS) | 4 | \$11,000 | \$11,000 | \$6,975 | 09/30/2009 | |
| BNSF 2007-311(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-313(FCS) | 2 | \$5,000 | \$5,000 | \$3,130 | 09/30/2009 | |
| BNSF 2007-314(SI) | 6 | \$7,500 | \$7,500 | \$4,750 | 09/30/2009 | |
| BNSF 2007-320(LI) | 1 | \$2,500 | \$2,500 | \$1,500 | 09/30/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|--------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|------------------|
| BNSF 2007-322(SA) | 8 | \$40,000 | \$40,000 | \$26,000 | 09/30/2009 | |
| BNSF 2007-325(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-330(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-332(RW) | 2 | \$4,000 | \$4,000 | \$2,600 | 09/30/2009 | |
| BNSF 2007-333(TS) | 11 | \$55,000 | \$55,000 | \$36,750 | 09/30/2009 | |
| BNSF 2007-334(TS) | 4 | \$11,000 | \$11,000 | \$7,250 | 09/30/2009 | |
| BNSF 2007-335(FCS) | 1 | \$2,500 | \$2,500 | \$1,625 | 09/30/2009 | |
| BNSF 2007-337(GC) | 2 | \$5,000 | \$5,000 | \$3,300 | 09/30/2009 | |
| BNSF 2007-338(GC) | 4 | \$10,000 | \$10,000 | \$6,550 | 09/30/2009 | |
| BNSF 2007-342(SI) | 1 | \$5,000 | \$5,000 | \$3,100 | 09/30/2009 | |
| BNSF 2007-35(AR) | 1 | \$2,500 | \$2,500 | \$1,015 | 09/11/2009 | |
| BNSF 2007-350(FCS) | 1 | \$5,000 | \$5,000 | \$3,250 | 09/30/2009 | |
| BNSF 2007-351(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-352(LI) | 14 | \$18,500 | \$18,500 | \$12,140 | 09/30/2009 | |
| BNSF 2007-353(FCS) | 3 | \$12,500 | \$12,500 | \$8,175 | 09/30/2009 | |
| BNSF 2007-355(HMT) | 1 | \$5,000 | \$5,000 | \$2,800 | 09/30/2009 | |
| BNSF 2007-356(RSP) | 1 | \$5,000 | \$5,000 | \$3,100 | 09/30/2009 | |
| BNSF 2007-361(FCS) | 1 | \$2,500 | \$2,500 | \$1,625 | 09/30/2009 | |
| BNSF 2007-363(TS) | 4 | \$17,500 | \$17,500 | \$11,500 | 09/30/2009 | |
| BNSF 2007-364(TS) | 2 | \$7,500 | \$7,500 | \$4,800 | 09/30/2009 | |
| BNSF 2007-366(FCS) | 1 | \$5,000 | \$0 | \$0 | 09/30/2009 | Case Terminated. |
| BNSF 2007-367(RW) | 1 | \$1,000 | \$1,000 | \$640 | 09/30/2009 | |
| BNSF 2007-369(HMT) | 1 | \$2,000 | \$2,000 | \$1,250 | 09/30/2009 | |
| BNSF 2007-370(HMT) | 1 | \$2,000 | \$2,000 | \$1,275 | 09/30/2009 | |
| BNSF 2007-373(ROR) | 4 | \$20,000 | \$20,000 | \$12,400 | 09/30/2009 | |
| BNSF 2007-374(ROR) | 4 | \$20,000 | \$20,000 | \$12,400 | 09/30/2009 | |
| BNSF 2007-375(ROR) | 4 | \$20,000 | \$20,000 | \$12,400 | 09/30/2009 | |
| BNSF 2007-377(SI) | 4 | \$12,000 | \$12,000 | \$8,600 | 09/30/2009 | |
| BNSF 2007-379(TS) | 1 | \$5,000 | \$5,000 | \$3,500 | 09/30/2009 | |
| BNSF 2007-381(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-382(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-383(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-384(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-385(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-386(AR) | 2 | \$5,000 | \$0 | \$0 | 09/11/2009 | Case Terminated. |
| BNSF 2007-387(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-388(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-389(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-390(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-391(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-392(AR) | 2 | \$5,000 | \$0 | \$0 | 09/11/2009 | |
| BNSF 2007-393(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-394(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-395(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-396(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-397(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-398(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-399(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-400(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| FRA No. | No. of Violations | POCA | PRCA | Settlement Amount | Settlement Date | Comments |
|--------------------|--------------------------|-------------|-------------|--------------------------|------------------------|------------------|
| BNSF 2007-401(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-402(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-403(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-404(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-405(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-406(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-407(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-408(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-409(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-410(AR) | 2 | \$5,000 | \$0 | \$0 | 09/11/2009 | Case Terminated. |
| BNSF 2007-411(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-412(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-413(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2007-414(AR) | 2 | \$5,000 | \$0 | \$0 | 09/11/2009 | Case Terminated. |
| BNSF 2007-415(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/11/2009 | |
| BNSF 2008-10(EQ) | 1 | \$1,000 | \$1,000 | \$675 | 09/30/2009 | |
| BNSF 2008-100(SA) | 3 | \$15,000 | \$15,000 | \$9,600 | 09/30/2009 | |
| BNSF 2008-101(SA) | 3 | \$15,000 | \$15,000 | \$9,250 | 09/30/2009 | |
| BNSF 2008-102(TS) | 6 | \$30,000 | \$30,000 | \$19,450 | 09/30/2009 | |
| BNSF 2008-103(TS) | 2 | \$7,500 | \$7,500 | \$4,875 | 09/30/2009 | |
| BNSF 2008-104(HMT) | 2 | \$15,000 | \$15,000 | \$9,500 | 09/30/2009 | |
| BNSF 2008-105(SA) | 4 | \$12,500 | \$12,500 | \$7,875 | 09/30/2009 | |
| BNSF 2008-106(SA) | 4 | \$10,000 | \$10,000 | \$6,350 | 09/30/2009 | |
| BNSF 2008-107(FCS) | 1 | \$5,000 | \$5,000 | \$3,285 | 09/30/2009 | |
| BNSF 2008-108(ROP) | 2 | \$7,500 | \$7,500 | \$4,900 | 09/30/2009 | |
| BNSF 2008-109(RSP) | 1 | \$1,000 | \$1,000 | \$655 | 09/30/2009 | |
| BNSF 2008-110(LI) | 4 | \$10,000 | \$10,000 | \$6,350 | 09/30/2009 | |
| BNSF 2008-111(HMT) | 1 | \$4,000 | \$4,000 | \$2,575 | 09/30/2009 | |
| BNSF 2008-112(SA) | 4 | \$10,000 | \$10,000 | \$6,350 | 09/30/2009 | |
| BNSF 2008-113(SA) | 4 | \$12,500 | \$12,500 | \$7,875 | 09/30/2009 | |
| BNSF 2008-114(SA) | 4 | \$10,000 | \$10,000 | \$6,350 | 09/30/2009 | |
| BNSF 2008-115(HMT) | 1 | \$2,500 | \$2,500 | \$1,550 | 09/30/2009 | |
| BNSF 2008-116(RW) | 1 | \$1,000 | \$1,000 | \$640 | 09/30/2009 | |
| BNSF 2008-117(EQ) | 2 | \$5,000 | \$5,000 | \$3,375 | 09/30/2009 | |
| BNSF 2008-118(GC) | 2 | \$10,000 | \$10,000 | \$6,850 | 09/30/2009 | |
| BNSF 2008-119(SI) | 3 | \$3,000 | \$3,000 | \$2,150 | 09/30/2009 | |
| BNSF 2008-12(EQ) | 1 | \$1,000 | \$1,000 | \$655 | 09/30/2009 | |
| BNSF 2008-120(SA) | 1 | \$2,500 | \$2,500 | \$1,700 | 09/30/2009 | |
| BNSF 2008-121(SA) | 1 | \$5,000 | \$5,000 | \$3,200 | 09/30/2009 | |
| BNSF 2008-122(RSP) | 2 | \$6,000 | \$6,000 | \$3,775 | 09/30/2009 | |
| BNSF 2008-124(RSP) | 1 | \$1,000 | \$1,000 | \$665 | 09/30/2009 | |
| BNSF 2008-125(TS) | 2 | \$5,000 | \$5,000 | \$3,275 | 09/30/2009 | |
| BNSF 2008-126(TS) | 13 | \$39,000 | \$39,000 | \$24,560 | 09/30/2009 | |
| BNSF 2008-127(SA) | 1 | \$2,500 | \$2,500 | \$1,665 | 09/30/2009 | |
| BNSF 2008-128(SI) | 3 | \$7,500 | \$7,500 | \$5,300 | 09/30/2009 | |
| BNSF 2008-129(GC) | 1 | \$5,000 | \$5,000 | \$3,275 | 09/30/2009 | |
| BNSF 2008-13(EQ) | 1 | \$1,000 | \$1,000 | \$675 | 09/30/2009 | |
| BNSF 2008-130(RSP) | 1 | \$1,000 | \$1,000 | \$660 | 09/30/2009 | |
| BNSF 2008-131(TH) | 1 | \$5,000 | \$5,000 | \$3,100 | 09/30/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|--------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|------------------------------|
| BNSF 2008-132(TS) | 5 | \$17,500 | \$17,500 | \$11,350 | 09/30/2009 | |
| BNSF 2008-133(SA) | 3 | \$12,000 | \$12,000 | \$7,950 | 09/30/2009 | |
| BNSF 2008-134(SA) | 2 | \$7,500 | \$7,500 | \$4,800 | 09/30/2009 | |
| BNSF 2008-135(TS) | 3 | \$6,000 | \$6,000 | \$3,815 | 09/30/2009 | |
| BNSF 2008-136(RSP) | 1 | \$1,000 | \$1,000 | \$675 | 09/30/2009 | |
| BNSF 2008-137(EP) | 1 | \$1,000 | \$1,000 | \$650 | 09/30/2009 | |
| BNSF 2008-138(LI) | 14 | \$18,500 | \$18,500 | \$12,600 | 09/30/2009 | |
| BNSF 2008-139(LI) | 17 | \$17,000 | \$17,000 | \$11,500 | 09/30/2009 | |
| BNSF 2008-140(RW) | 2 | \$7,000 | \$7,000 | \$4,800 | 09/30/2009 | |
| BNSF 2008-141(TS) | 4 | \$11,000 | \$11,000 | \$7,350 | 09/30/2009 | |
| BNSF 2008-142(RSP) | 1 | \$1,000 | \$1,000 | \$675 | 09/30/2009 | |
| BNSF 2008-143(SA) | 9 | \$45,000 | \$45,000 | \$28,575 | 09/30/2009 | |
| BNSF 2008-144(LI) | 2 | \$5,000 | \$5,000 | \$3,075 | 09/30/2009 | |
| BNSF 2008-145(FCS) | 1 | \$2,500 | \$2,500 | \$1,625 | 09/30/2009 | |
| BNSF 2008-146(RW) | 1 | \$1,000 | \$1,000 | \$640 | 09/30/2009 | |
| BNSF 2008-147(HS) | 2 | \$2,000 | \$2,000 | \$1,250 | 09/30/2009 | |
| BNSF 2008-148(SA) | 3 | \$9,500 | \$9,500 | \$5,830 | 09/30/2009 | |
| BNSF 2008-149(SA) | 3 | \$15,000 | \$15,000 | \$9,675 | 09/30/2009 | |
| BNSF 2008-15(EQ) | 1 | \$1,000 | \$1,000 | \$640 | 09/30/2009 | |
| BNSF 2008-150(SA) | 3 | \$12,500 | \$12,500 | \$8,125 | 09/30/2009 | |
| BNSF 2008-151(FCS) | 1 | \$2,500 | \$2,500 | \$1,575 | 09/30/2009 | |
| BNSF 2008-152(ROP) | 1 | \$5,000 | \$5,000 | \$2,900 | 09/30/2009 | |
| BNSF 2008-153(LI) | 1 | \$2,500 | \$2,500 | \$1,625 | 09/30/2009 | |
| BNSF 2008-154(TS) | 7 | \$27,500 | \$27,500 | \$17,050 | 09/30/2009 | Terminated Violation(s) #: 4 |
| BNSF 2008-155(FCS) | 4 | \$20,000 | \$20,000 | \$12,850 | 09/30/2009 | |
| BNSF 2008-156(SI) | 1 | \$1,000 | \$1,000 | \$700 | 09/30/2009 | |
| BNSF 2008-157(SA) | 1 | \$2,500 | \$2,500 | \$1,645 | 09/30/2009 | |
| BNSF 2008-158(FCS) | 2 | \$7,500 | \$7,500 | \$4,825 | 09/30/2009 | |
| BNSF 2008-159(TS) | 2 | \$5,000 | \$5,000 | \$3,310 | 09/30/2009 | |
| BNSF 2008-16(EQ) | 1 | \$5,000 | \$5,000 | \$3,235 | 09/30/2009 | |
| BNSF 2008-160(SA) | 2 | \$10,000 | \$10,000 | \$6,350 | 09/30/2009 | |
| BNSF 2008-161(LI) | 1 | \$2,500 | \$2,500 | \$1,715 | 09/30/2009 | |
| BNSF 2008-162(TS) | 1 | \$5,000 | \$5,000 | \$3,145 | 09/30/2009 | |
| BNSF 2008-164(TS) | 3 | \$4,500 | \$4,500 | \$2,885 | 09/30/2009 | |
| BNSF 2008-165(SA) | 2 | \$10,000 | \$10,000 | \$6,500 | 09/30/2009 | |
| BNSF 2008-166(FCS) | 1 | \$2,500 | \$2,500 | \$1,550 | 09/30/2009 | |
| BNSF 2008-167(SI) | 1 | \$2,500 | \$2,500 | \$1,775 | 09/30/2009 | |
| BNSF 2008-168(SA) | 3 | \$10,000 | \$10,000 | \$6,900 | 09/30/2009 | |
| BNSF 2008-169(LI) | 1 | \$2,500 | \$2,500 | \$1,500 | 09/30/2009 | |
| BNSF 2008-170(HMT) | 1 | \$2,000 | \$2,000 | \$1,325 | 09/30/2009 | |
| BNSF 2008-171(HMT) | 2 | \$10,000 | \$10,000 | \$6,200 | 09/30/2009 | |
| BNSF 2008-176(SI) | 1 | \$1,000 | \$1,000 | \$640 | 09/30/2009 | |
| BNSF 2008-177(TS) | 3 | \$5,500 | \$5,500 | \$3,450 | 09/30/2009 | |
| BNSF 2008-178(TS) | 4 | \$16,000 | \$16,000 | \$10,150 | 09/30/2009 | |
| BNSF 2008-179(SA) | 2 | \$7,500 | \$7,500 | \$4,950 | 09/30/2009 | |
| BNSF 2008-18(EQ) | 1 | \$1,000 | \$1,000 | \$655 | 09/30/2009 | |
| BNSF 2008-180(GC) | 3 | \$7,500 | \$7,500 | \$5,035 | 09/30/2009 | |
| BNSF 2008-181(FCS) | 1 | \$5,000 | \$5,000 | \$3,130 | 09/30/2009 | |
| BNSF 2008-182(SA) | 5 | \$17,500 | \$17,500 | \$11,375 | 09/30/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|--------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|-----------------|
| BNSF 2008-183(ROP) | 1 | \$5,000 | \$5,000 | \$3,325 | 09/30/2009 | |
| BNSF 2008-184(FCS) | 1 | \$5,000 | \$5,000 | \$3,130 | 09/30/2009 | |
| BNSF 2008-185(SA) | 4 | \$20,000 | \$20,000 | \$13,000 | 09/30/2009 | |
| BNSF 2008-186(TS) | 2 | \$2,000 | \$2,000 | \$1,300 | 09/30/2009 | |
| BNSF 2008-187(TS) | 1 | \$5,000 | \$5,000 | \$3,225 | 09/30/2009 | |
| BNSF 2008-188(SA) | 1 | \$5,000 | \$5,000 | \$3,250 | 09/30/2009 | |
| BNSF 2008-189(TS) | 3 | \$15,000 | \$15,000 | \$9,350 | 09/30/2009 | |
| BNSF 2008-190(AR) | 2 | \$5,000 | \$5,000 | \$3,400 | 09/30/2009 | |
| BNSF 2008-191(HMT) | 1 | \$2,000 | \$2,000 | \$1,300 | 09/30/2009 | |
| BNSF 2008-192(SA) | 1 | \$5,000 | \$5,000 | \$3,250 | 09/30/2009 | |
| BNSF 2008-193(SA) | 2 | \$10,000 | \$10,000 | \$6,500 | 09/30/2009 | |
| BNSF 2008-195(SA) | 2 | \$7,500 | \$7,500 | \$4,500 | 09/30/2009 | |
| BNSF 2008-196(FCS) | 1 | \$2,500 | \$2,500 | \$1,550 | 09/30/2009 | |
| BNSF 2008-197(FCS) | 1 | \$2,500 | \$2,500 | \$1,550 | 09/30/2009 | |
| BNSF 2008-198(SA) | 4 | \$10,000 | \$10,000 | \$6,500 | 09/30/2009 | |
| BNSF 2008-20(TS) | 4 | \$9,500 | \$9,500 | \$6,300 | 09/30/2009 | |
| BNSF 2008-201(RSP) | 2 | \$10,000 | \$10,000 | \$6,200 | 09/30/2009 | |
| BNSF 2008-202(SA) | 2 | \$5,000 | \$5,000 | \$3,200 | 09/30/2009 | |
| BNSF 2008-203(RSP) | 1 | \$5,000 | \$5,000 | \$2,835 | 09/30/2009 | |
| BNSF 2008-204(SI) | 2 | \$2,000 | \$2,000 | \$1,300 | 09/30/2009 | |
| BNSF 2008-205(GC) | 2 | \$7,500 | \$7,500 | \$4,950 | 09/30/2009 | |
| BNSF 2008-206(SA) | 3 | \$15,000 | \$15,000 | \$9,600 | 09/30/2009 | |
| BNSF 2008-207(TS) | 3 | \$10,000 | \$10,000 | \$6,450 | 09/30/2009 | |
| BNSF 2008-208(TS) | 2 | \$10,000 | \$10,000 | \$6,450 | 09/30/2009 | |
| BNSF 2008-209(HMT) | 1 | \$5,000 | \$5,000 | \$3,250 | 09/30/2009 | |
| BNSF 2008-213(TS) | 3 | \$12,500 | \$12,500 | \$8,000 | 09/30/2009 | |
| BNSF 2008-214(TS) | 2 | \$6,000 | \$6,000 | \$3,700 | 09/30/2009 | |
| BNSF 2008-216(ROP) | 2 | \$7,000 | \$7,000 | \$4,600 | 09/30/2009 | |
| BNSF 2008-217(SA) | 2 | \$5,000 | \$5,000 | \$3,200 | 09/30/2009 | |
| BNSF 2008-218(GC) | 1 | \$2,500 | \$2,500 | \$1,745 | 09/30/2009 | |
| BNSF 2008-219(SA) | 3 | \$15,000 | \$15,000 | \$9,750 | 09/30/2009 | |
| BNSF 2008-22(LI) | 10 | \$20,500 | \$20,500 | \$13,525 | 09/30/2009 | |
| BNSF 2008-220(SA) | 3 | \$10,000 | \$10,000 | \$6,500 | 09/30/2009 | |
| BNSF 2008-221(TS) | 14 | \$40,000 | \$40,000 | \$25,760 | 09/30/2009 | |
| BNSF 2008-222(TS) | 4 | \$15,000 | \$15,000 | \$9,450 | 09/30/2009 | |
| BNSF 2008-224(TS) | 4 | \$11,000 | \$11,000 | \$7,175 | 09/30/2009 | |
| BNSF 2008-226(HMT) | 1 | \$1,000 | \$1,000 | \$600 | 09/30/2009 | |
| BNSF 2008-227(HS) | 1 | \$1,000 | \$1,000 | \$650 | 09/30/2009 | |
| BNSF 2008-228(HMT) | 1 | \$7,500 | \$7,500 | \$3,950 | 09/30/2009 | |
| BNSF 2008-23(SA) | 5 | \$12,500 | \$12,500 | \$7,675 | 09/30/2009 | |
| BNSF 2008-230(SA) | 1 | \$5,000 | \$5,000 | \$3,250 | 09/30/2009 | |
| BNSF 2008-231(SA) | 3 | \$7,500 | \$7,500 | \$4,875 | 09/30/2009 | |
| BNSF 2008-234(SA) | 2 | \$7,500 | \$7,500 | \$4,850 | 09/30/2009 | |
| BNSF 2008-235(GC) | 2 | \$7,500 | \$7,500 | \$4,700 | 09/30/2009 | |
| BNSF 2008-237(SA) | 4 | \$15,000 | \$15,000 | \$9,600 | 09/30/2009 | |
| BNSF 2008-238(LI) | 3 | \$7,500 | \$7,500 | \$5,100 | 09/30/2009 | |
| BNSF 2008-239(SA) | 1 | \$5,000 | \$5,000 | \$3,250 | 09/30/2009 | |
| BNSF 2008-241(GC) | 1 | \$2,500 | \$2,500 | \$1,650 | 09/30/2009 | |
| BNSF 2008-242(FCS) | 3 | \$10,000 | \$10,000 | \$6,450 | 09/30/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|--------------------|--------------------------|-------------|-------------|--------------------------|------------------------|-----------------|
| BNSF 2008-243(TS) | 12 | \$30,000 | \$30,000 | \$19,000 | 09/30/2009 | |
| BNSF 2008-245(SA) | 1 | \$5,000 | \$5,000 | \$3,250 | 09/30/2009 | |
| BNSF 2008-247(GC) | 3 | \$7,000 | \$7,000 | \$4,400 | 09/30/2009 | |
| BNSF 2008-249(SA) | 1 | \$5,000 | \$5,000 | \$3,150 | 09/30/2009 | |
| BNSF 2008-25(LI) | 6 | \$6,000 | \$6,000 | \$3,900 | 09/30/2009 | |
| BNSF 2008-250(SA) | 3 | \$17,500 | \$17,500 | \$11,450 | 09/30/2009 | |
| BNSF 2008-251(LI) | 2 | \$2,000 | \$2,000 | \$1,325 | 09/30/2009 | |
| BNSF 2008-252(SA) | 2 | \$7,500 | \$7,500 | \$4,950 | 09/30/2009 | |
| BNSF 2008-253(TS) | 26 | \$65,000 | \$65,000 | \$39,000 | 09/30/2009 | |
| BNSF 2008-254(TS) | 2 | \$3,500 | \$3,500 | \$2,275 | 09/30/2009 | |
| BNSF 2008-256(SA) | 4 | \$20,000 | \$20,000 | \$12,600 | 09/30/2009 | |
| BNSF 2008-257(SA) | 1 | \$5,000 | \$5,000 | \$3,250 | 09/30/2009 | |
| BNSF 2008-259(TS) | 7 | \$14,500 | \$14,500 | \$9,050 | 09/30/2009 | |
| BNSF 2008-260(TS) | 7 | \$17,500 | \$17,500 | \$10,800 | 09/30/2009 | |
| BNSF 2008-262(SA) | 1 | \$2,500 | \$2,500 | \$1,675 | 09/30/2009 | |
| BNSF 2008-264(EP) | 2 | \$2,000 | \$2,000 | \$1,275 | 09/30/2009 | |
| BNSF 2008-266(LI) | 1 | \$1,000 | \$1,000 | \$670 | 09/30/2009 | |
| BNSF 2008-267(TS) | 1 | \$2,500 | \$2,500 | \$1,675 | 09/30/2009 | |
| BNSF 2008-270(SA) | 1 | \$10,000 | \$10,000 | \$6,700 | 09/30/2009 | |
| BNSF 2008-271(LI) | 1 | \$1,000 | \$1,000 | \$670 | 09/30/2009 | |
| BNSF 2008-272(ROR) | 2 | \$50,000 | \$50,000 | \$32,200 | 09/30/2009 | |
| BNSF 2008-274(HSR) | 1 | \$1,000 | \$1,000 | \$625 | 09/30/2009 | |
| BNSF 2008-278(SA) | 4 | \$20,000 | \$20,000 | \$13,000 | 09/30/2009 | |
| BNSF 2008-280(SA) | 5 | \$22,500 | \$22,500 | \$15,750 | 09/30/2009 | |
| BNSF 2008-281(SA) | 5 | \$22,500 | \$22,500 | \$14,725 | 09/30/2009 | |
| BNSF 2008-282(SA) | 3 | \$15,000 | \$15,000 | \$9,750 | 09/30/2009 | |
| BNSF 2008-284(EP) | 1 | \$1,000 | \$1,000 | \$650 | 09/30/2009 | |
| BNSF 2008-285(LI) | 1 | \$2,500 | \$2,500 | \$1,675 | 09/30/2009 | |
| BNSF 2008-286(TS) | 2 | \$7,500 | \$7,500 | \$5,100 | 09/30/2009 | |
| BNSF 2008-287(RSP) | 1 | \$5,000 | \$5,000 | \$3,100 | 09/30/2009 | |
| BNSF 2008-289(FCS) | 1 | \$5,000 | \$5,000 | \$3,130 | 09/30/2009 | |
| BNSF 2008-29(RSP) | 2 | \$10,000 | \$10,000 | \$6,200 | 09/30/2009 | |
| BNSF 2008-290(HMT) | 4 | \$12,500 | \$10,000 | \$6,375 | 09/30/2009 | |
| BNSF 2008-291(SA) | 2 | \$10,000 | \$10,000 | \$6,400 | 09/30/2009 | |
| BNSF 2008-30(TS) | 6 | \$18,500 | \$18,500 | \$11,700 | 09/30/2009 | |
| BNSF 2008-31(TS) | 4 | \$16,000 | \$16,000 | \$10,500 | 09/30/2009 | |
| BNSF 2008-32(TS) | 7 | \$17,000 | \$17,000 | \$11,450 | 09/30/2009 | |
| BNSF 2008-33(TS) | 3 | \$7,500 | \$7,500 | \$5,250 | 09/30/2009 | |
| BNSF 2008-34(TS) | 21 | \$22,500 | \$22,500 | \$14,375 | 09/30/2009 | |
| BNSF 2008-35(FCS) | 2 | \$10,000 | \$10,000 | \$6,345 | 09/30/2009 | |
| BNSF 2008-38(SI) | 2 | \$6,000 | \$6,000 | \$4,200 | 09/30/2009 | |
| BNSF 2008-39(SA) | 2 | \$5,000 | \$5,000 | \$3,150 | 09/30/2009 | |
| BNSF 2008-40(HS) | 1 | \$1,000 | \$1,000 | \$650 | 09/30/2009 | |
| BNSF 2008-41(FCS) | 5 | \$15,000 | \$15,000 | \$9,650 | 09/30/2009 | |
| BNSF 2008-43(FCS) | 5 | \$17,500 | \$17,500 | \$11,200 | 09/30/2009 | |
| BNSF 2008-45(HMT) | 1 | \$2,000 | \$2,000 | \$1,300 | 09/30/2009 | |
| BNSF 2008-46(HSR) | 1 | \$1,000 | \$1,000 | \$625 | 09/30/2009 | |
| BNSF 2008-48(TS) | 1 | \$5,000 | \$5,000 | \$3,230 | 09/30/2009 | |
| BNSF 2008-49(TS) | 1 | \$5,000 | \$5,000 | \$3,100 | 09/30/2009 | |

**Federal Railroad Administration
Safety Cases Closed in FY 2009**

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|-------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|-----------------------------|
| BNSF 2008-50(SA) | 1 | \$5,000 | \$5,000 | \$3,250 | 09/30/2009 | |
| BNSF 2008-51(FCS) | 1 | \$5,000 | \$5,000 | \$3,065 | 09/30/2009 | |
| BNSF 2008-53(TS) | 1 | \$2,500 | \$2,500 | \$1,575 | 09/30/2009 | |
| BNSF 2008-55(FCS) | 1 | \$2,500 | \$2,500 | \$1,550 | 09/30/2009 | |
| BNSF 2008-56(SA) | 1 | \$5,000 | \$5,000 | \$3,150 | 09/30/2009 | |
| BNSF 2008-57(SA) | 1 | \$2,500 | \$2,500 | \$1,600 | 09/30/2009 | |
| BNSF 2008-58(SI) | 1 | \$5,000 | \$5,000 | \$3,500 | 09/30/2009 | |
| BNSF 2008-59(GC) | 2 | \$5,000 | \$5,000 | \$3,260 | 09/30/2009 | |
| BNSF 2008-60(GS) | 1 | \$1,000 | \$1,000 | \$635 | 09/30/2009 | |
| BNSF 2008-61(ROR) | 1 | \$5,000 | \$5,000 | \$3,200 | 09/30/2009 | |
| BNSF 2008-62(SA) | 5 | \$12,500 | \$12,500 | \$7,175 | 09/30/2009 | |
| BNSF 2008-64(SA) | 2 | \$10,000 | \$10,000 | \$6,375 | 09/30/2009 | |
| BNSF 2008-65(RSP) | 1 | \$5,000 | \$5,000 | \$3,200 | 09/30/2009 | |
| BNSF 2008-66(TS) | 3 | \$10,000 | \$10,000 | \$6,500 | 09/30/2009 | |
| BNSF 2008-67(LI) | 13 | \$19,000 | \$19,000 | \$12,650 | 09/30/2009 | |
| BNSF 2008-68(SA) | 3 | \$10,000 | \$10,000 | \$6,350 | 09/30/2009 | |
| BNSF 2008-70(HMT) | 2 | \$8,500 | \$8,500 | \$5,400 | 09/30/2009 | |
| BNSF 2008-71(LI) | 2 | \$5,000 | \$5,000 | \$3,335 | 09/30/2009 | |
| BNSF 2008-72(EQ) | 3 | \$7,000 | \$7,000 | \$4,700 | 09/30/2009 | |
| BNSF 2008-73(GC) | 3 | \$15,000 | \$10,000 | \$8,000 | 09/30/2009 | Terminated Violation(s)#: 1 |
| BNSF 2008-74(TS) | 2 | \$6,000 | \$6,000 | \$3,950 | 09/30/2009 | |
| BNSF 2008-75(TS) | 2 | \$3,500 | \$3,500 | \$2,310 | 09/30/2009 | |
| BNSF 2008-76(TS) | 1 | \$5,000 | \$5,000 | \$3,400 | 09/30/2009 | |
| BNSF 2008-77(SA) | 4 | \$12,500 | \$12,500 | \$8,150 | 09/30/2009 | |
| BNSF 2008-78(LI) | 1 | \$2,500 | \$2,500 | \$1,625 | 09/30/2009 | |
| BNSF 2008-79(HMT) | 1 | \$7,500 | \$7,500 | \$4,875 | 09/30/2009 | |
| BNSF 2008-80(HMT) | 1 | \$2,000 | \$2,000 | \$1,235 | 09/30/2009 | |
| BNSF 2008-81(HMT) | 1 | \$4,000 | \$4,000 | \$2,535 | 09/30/2009 | |
| BNSF 2008-82(TS) | 4 | \$8,500 | \$8,500 | \$5,500 | 09/30/2009 | |
| BNSF 2008-83(TS) | 1 | \$2,500 | \$2,500 | \$1,640 | 09/30/2009 | |
| BNSF 2008-84(TS) | 101 | \$192,500 | \$192,500 | \$123,950 | 09/30/2009 | |
| BNSF 2008-85(TS) | 36 | \$87,500 | \$87,500 | \$58,625 | 09/30/2009 | |
| BNSF 2008-86(TS) | 1 | \$5,000 | \$5,000 | \$3,275 | 09/30/2009 | |
| BNSF 2008-87(TS) | 2 | \$10,000 | \$10,000 | \$6,800 | 09/30/2009 | |
| BNSF 2008-88(RSP) | 2 | \$10,000 | \$10,000 | \$6,200 | 09/30/2009 | |
| BNSF 2008-89(RSP) | 2 | \$10,000 | \$10,000 | \$6,200 | 09/30/2009 | |
| BNSF 2008-9(EQ) | 1 | \$5,000 | \$5,000 | \$3,235 | 09/30/2009 | |
| BNSF 2008-90(SA) | 3 | \$12,500 | \$12,500 | \$8,450 | 09/30/2009 | |
| BNSF 2008-91(SA) | 2 | \$5,000 | \$5,000 | \$3,150 | 09/30/2009 | |
| BNSF 2008-92(HMT) | 1 | \$2,500 | \$2,500 | \$1,500 | 09/30/2009 | |
| BNSF 2008-93(HMT) | 1 | \$4,000 | \$4,000 | \$2,550 | 09/30/2009 | |
| BNSF 2008-94(TS) | 1 | \$1,000 | \$1,000 | \$650 | 09/30/2009 | |
| BNSF 2008-95(TS) | 2 | \$6,000 | \$6,000 | \$4,000 | 09/30/2009 | |
| BNSF 2008-96(TS) | 1 | \$1,000 | \$1,000 | \$635 | 09/30/2009 | |
| BNSF 2008-97(TS) | 3 | \$4,500 | \$4,500 | \$2,925 | 09/30/2009 | |
| BNSF 2008-98(TS) | 30 | \$75,000 | \$75,000 | \$50,250 | 09/30/2009 | |
| BNSF 2008-99(HMT) | 1 | \$6,000 | \$6,000 | \$4,000 | 09/30/2009 | |
| BNSF 2009-1(SA) | 2 | \$10,000 | \$10,000 | \$6,200 | 09/30/2009 | |
| BNSF 2009-11(TS) | 2 | \$3,500 | \$3,500 | \$2,345 | 09/30/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|-------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|------------------|
| BNSF 2009-12(TS) | 1 | \$1,000 | \$1,000 | \$670 | 09/30/2009 | |
| BNSF 2009-14(TS) | 14 | \$55,000 | \$55,000 | \$35,350 | 09/30/2009 | |
| BNSF 2009-15(TS) | 1 | \$2,500 | \$2,500 | \$1,675 | 09/30/2009 | |
| BNSF 2009-17(HMT) | 1 | \$4,000 | \$4,000 | \$2,635 | 09/30/2009 | |
| BNSF 2009-19(SA) | 3 | \$15,000 | \$15,000 | \$9,600 | 09/30/2009 | |
| BNSF 2009-2(FCS) | 1 | \$2,500 | \$2,500 | \$1,550 | 09/30/2009 | |
| BNSF 2009-20(SA) | 3 | \$10,000 | \$10,000 | \$6,500 | 09/30/2009 | |
| BNSF 2009-21(SA) | 4 | \$17,500 | \$17,500 | \$11,200 | 09/30/2009 | |
| BNSF 2009-24(LI) | 3 | \$7,500 | \$7,500 | \$5,100 | 09/30/2009 | |
| BNSF 2009-25(LI) | 5 | \$6,500 | \$6,500 | \$4,300 | 09/30/2009 | |
| BNSF 2009-26(LI) | 7 | \$15,500 | \$15,500 | \$10,325 | 09/30/2009 | |
| BNSF 2009-27(LI) | 8 | \$8,000 | \$8,000 | \$5,225 | 09/30/2009 | |
| BNSF 2009-28(SA) | 1 | \$2,500 | \$2,500 | \$1,575 | 09/30/2009 | |
| BNSF 2009-3(TS) | 3 | \$6,000 | \$6,000 | \$4,200 | 09/30/2009 | |
| BNSF 2009-30(SA) | 2 | \$7,500 | \$7,500 | \$4,800 | 09/30/2009 | |
| BNSF 2009-31(SI) | 1 | \$1,000 | \$1,000 | \$700 | 09/30/2009 | |
| BNSF 2009-32(GC) | 2 | \$10,000 | \$10,000 | \$7,000 | 09/30/2009 | |
| BNSF 2009-33(FCS) | 1 | \$2,500 | \$2,500 | \$1,550 | 09/30/2009 | |
| BNSF 2009-37(TS) | 7 | \$13,000 | \$13,000 | \$8,450 | 09/30/2009 | |
| BNSF 2009-38(HMT) | 1 | \$2,500 | \$2,500 | \$1,550 | 09/30/2009 | |
| BNSF 2009-39(SA) | 2 | \$10,000 | \$10,000 | \$6,400 | 09/30/2009 | |
| BNSF 2009-40(TS) | 1 | \$1,000 | \$1,000 | \$670 | 09/30/2009 | |
| BNSF 2009-41(EQ) | 1 | \$2,500 | \$0 | \$0 | 09/30/2009 | Case Terminated. |
| BNSF 2009-43(SA) | 1 | \$2,500 | \$2,500 | \$1,575 | 09/30/2009 | |
| BNSF 2009-45(FCS) | 1 | \$2,500 | \$2,500 | \$1,550 | 09/30/2009 | |
| BNSF 2009-46(TS) | 1 | \$1,000 | \$1,000 | \$700 | 09/30/2009 | |
| BNSF 2009-47(SA) | 1 | \$2,500 | \$2,500 | \$875 | 09/30/2009 | |
| BNSF 2009-48(FCS) | 1 | \$5,000 | \$5,000 | \$3,115 | 09/30/2009 | |
| BNSF 2009-5(RSP) | 1 | \$5,000 | \$5,000 | \$3,200 | 09/30/2009 | |
| BNSF 2009-50(GC) | 1 | \$2,500 | \$2,500 | \$1,550 | 09/30/2009 | |
| BNSF 2009-51(SI) | 1 | \$2,500 | \$2,500 | \$1,775 | 09/30/2009 | |
| BNSF 2009-54(SA) | 1 | \$5,000 | \$5,000 | \$3,250 | 09/30/2009 | |
| BNSF 2009-55(FCS) | 1 | \$5,000 | \$5,000 | \$3,115 | 09/30/2009 | |
| BNSF 2009-56(SI) | 1 | \$5,000 | \$5,000 | \$3,100 | 09/30/2009 | |
| BNSF 2009-59(TS) | 3 | \$9,000 | \$9,000 | \$6,050 | 09/30/2009 | |
| BNSF 2009-6(SA) | 2 | \$7,500 | \$7,500 | \$4,800 | 09/30/2009 | |
| BNSF 2009-60(TS) | 1 | \$5,000 | \$5,000 | \$3,075 | 09/30/2009 | |
| BNSF 2009-64(SA) | 2 | \$5,000 | \$5,000 | \$3,200 | 09/30/2009 | |
| BNSF 2009-71(RW) | 1 | \$1,000 | \$1,000 | \$640 | 09/30/2009 | |
| BNSF 2009-8(LI) | 14 | \$14,000 | \$14,000 | \$9,150 | 09/30/2009 | |
| BNSF 2009-9(EQ) | 1 | \$5,000 | \$5,000 | \$3,235 | 09/30/2009 | |
| BNSO 2008-2(PEQ) | 1 | \$5,000 | \$5,000 | \$3,250 | 09/30/2009 | |
| BSOR 2005-1(AR) | 1 | \$1,000 | \$1,000 | \$550 | 01/09/2009 | |
| CARR 2009-1(TS) | 5 | \$25,000 | \$25,000 | \$16,000 | 09/30/2009 | |
| CARR 2009-2(RW) | 1 | \$2,000 | \$2,000 | \$1,100 | 09/30/2009 | |
| CBRW 2008-2(HMT) | 1 | \$3,000 | \$3,000 | \$3,000 | 12/12/2008 | |
| CBRW 2008-3(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 12/12/2008 | |
| CC 2008-1(SA) | 1 | \$5,000 | \$5,000 | \$3,500 | 09/30/2009 | |
| CERA 2007-1(LI) | 1 | \$2,500 | \$2,500 | \$1,800 | 04/20/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|------------------|
| CFE 2008-1(SA) | 1 | \$2,500 | \$2,500 | \$1,500 | 04/20/2009 | CASE TERMINATED. |
| CFE 2008-2(TS) | 1 | \$5,000 | \$5,000 | \$4,000 | 04/20/2009 | |
| CFNR 2002-1(SA) | 2 | \$5,000 | \$0 | \$0 | 03/30/2009 | |
| CFNR 2007-1(SI) | 1 | \$2,500 | \$2,500 | \$1,800 | 07/01/2009 | |
| CIND 2007-1(GC) | 1 | \$2,500 | \$2,500 | \$1,850 | 04/20/2009 | |
| CIND 2008-1(RW) | 1 | \$1,000 | \$1,000 | \$740 | 04/20/2009 | |
| CN 2007-104(FCS) | 1 | \$2,000 | \$2,000 | \$1,200 | 09/30/2009 | |
| CN 2008-1(SA) | 5 | \$25,000 | \$25,000 | \$16,850 | 09/30/2009 | |
| CN 2008-10(GC) | 13 | \$65,000 | \$65,000 | \$45,500 | 09/30/2009 | |
| CN 2008-100(FCS) | 1 | \$2,000 | \$2,000 | \$1,300 | 09/30/2009 | |
| CN 2008-101(SA) | 18 | \$90,000 | \$90,000 | \$59,350 | 09/30/2009 | |
| CN 2008-102(SA) | 5 | \$22,500 | \$22,500 | \$15,625 | 09/30/2009 | |
| CN 2008-103(AR) | 1 | \$1,000 | \$1,000 | \$650 | 09/30/2009 | |
| CN 2008-104(HMT) | 2 | \$8,000 | \$8,000 | \$5,200 | 09/30/2009 | |
| CN 2008-105(SA) | 4 | \$15,000 | \$15,000 | \$10,400 | 09/30/2009 | |
| CN 2008-106(FCS) | 1 | \$2,500 | \$2,500 | \$1,625 | 09/30/2009 | |
| CN 2008-107(GC) | 1 | \$5,000 | \$5,000 | \$3,450 | 09/30/2009 | |
| CN 2008-108(LI) | 1 | \$3,000 | \$3,000 | \$2,100 | 09/30/2009 | |
| CN 2008-109(SA) | 2 | \$5,000 | \$5,000 | \$3,400 | 09/30/2009 | |
| CN 2008-110(TS) | 8 | \$37,500 | \$37,500 | \$24,725 | 09/30/2009 | |
| CN 2008-111(TS) | 3 | \$15,000 | \$15,000 | \$9,900 | 09/30/2009 | |
| CN 2008-112(SA) | 1 | \$2,500 | \$2,500 | \$1,625 | 09/30/2009 | |
| CN 2008-113(RW) | 1 | \$5,000 | \$5,000 | \$3,250 | 09/30/2009 | |
| CN 2008-114(HMT) | 2 | \$9,000 | \$9,000 | \$6,950 | 09/30/2009 | |
| CN 2008-115(SA) | 2 | \$10,000 | \$10,000 | \$6,900 | 09/30/2009 | |
| CN 2008-116(SA) | 1 | \$5,000 | \$5,000 | \$3,500 | 09/30/2009 | |
| CN 2008-117(LI) | 2 | \$5,000 | \$5,000 | \$3,250 | 09/30/2009 | |
| CN 2008-118(HMT) | 2 | \$4,500 | \$4,500 | \$2,925 | 09/30/2009 | |
| CN 2008-119(ROP) | 1 | \$2,500 | \$2,500 | \$1,625 | 09/30/2009 | |
| CN 2008-12(HMT) | 8 | \$32,000 | \$32,000 | \$22,350 | 09/30/2009 | |
| CN 2008-120(SI) | 1 | \$2,500 | \$2,500 | \$1,750 | 09/30/2009 | |
| CN 2008-121(SA) | 4 | \$20,000 | \$20,000 | \$14,000 | 09/30/2009 | |
| CN 2008-122(SA) | 4 | \$20,000 | \$20,000 | \$14,000 | 09/30/2009 | |
| CN 2008-123(SA) | 2 | \$5,000 | \$5,000 | \$3,400 | 09/30/2009 | |
| CN 2008-124(HMT) | 1 | \$2,000 | \$2,000 | \$1,300 | 09/30/2009 | |
| CN 2008-125(SA) | 5 | \$20,000 | \$20,000 | \$13,550 | 09/30/2009 | |
| CN 2008-126(SA) | 1 | \$5,000 | \$5,000 | \$3,400 | 09/30/2009 | |
| CN 2008-127(HMT) | 3 | \$6,500 | \$6,500 | \$4,385 | 09/30/2009 | |
| CN 2008-128(LI) | 9 | \$23,000 | \$23,000 | \$15,565 | 09/30/2009 | |
| CN 2008-129(GC) | 1 | \$2,500 | \$2,500 | \$1,750 | 09/30/2009 | |
| CN 2008-13(SA) | 1 | \$2,500 | \$2,500 | \$1,700 | 09/30/2009 | |
| CN 2008-130(SI) | 1 | \$1,000 | \$1,000 | \$670 | 09/30/2009 | |
| CN 2008-131(HS) | 1 | \$1,000 | \$1,000 | \$700 | 09/30/2009 | |
| CN 2008-132(SA) | 4 | \$20,000 | \$20,000 | \$13,600 | 09/30/2009 | |
| CN 2008-133(SA) | 3 | \$15,000 | \$15,000 | \$10,200 | 09/30/2009 | |
| CN 2008-134(SA) | 4 | \$17,500 | \$17,500 | \$11,950 | 09/30/2009 | |
| CN 2008-136(ROP) | 1 | \$2,500 | \$2,500 | \$1,625 | 09/30/2009 | |
| CN 2008-137(ROR) | 1 | \$5,000 | \$5,000 | \$3,350 | 09/30/2009 | |
| CN 2008-138(HSR) | 2 | \$2,000 | \$2,000 | \$1,300 | 09/30/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|-----------------|
| CN 2008-139(HMT) | 1 | \$6,000 | \$6,000 | \$4,500 | 09/30/2009 | |
| CN 2008-14(GC) | 2 | \$7,500 | \$7,500 | \$5,350 | 09/30/2009 | |
| CN 2008-140(ROP) | 1 | \$5,000 | \$5,000 | \$3,750 | 09/30/2009 | |
| CN 2008-141(SA) | 4 | \$17,500 | \$17,500 | \$12,075 | 09/30/2009 | |
| CN 2008-142(SA) | 3 | \$12,500 | \$12,500 | \$8,600 | 09/30/2009 | |
| CN 2008-143(SA) | 7 | \$35,000 | \$35,000 | \$24,000 | 09/30/2009 | |
| CN 2008-144(HMT) | 9 | \$40,000 | \$40,000 | \$28,970 | 09/30/2009 | |
| CN 2008-145(ROP) | 2 | \$12,500 | \$12,500 | \$8,625 | 09/30/2009 | |
| CN 2008-146(SA) | 4 | \$17,500 | \$17,500 | \$12,100 | 09/30/2009 | |
| CN 2008-147(RW) | 1 | \$2,000 | \$2,000 | \$1,300 | 09/30/2009 | |
| CN 2008-148(FCS) | 11 | \$25,000 | \$25,000 | \$16,250 | 09/30/2009 | |
| CN 2008-149(SA) | 5 | \$12,500 | \$12,500 | \$8,250 | 09/30/2009 | |
| CN 2008-15(HMT) | 9 | \$30,500 | \$30,500 | \$21,785 | 09/30/2009 | |
| CN 2008-150(SA) | 4 | \$20,000 | \$20,000 | \$14,000 | 09/30/2009 | |
| CN 2008-151(SA) | 5 | \$20,000 | \$20,000 | \$13,625 | 09/30/2009 | |
| CN 2008-152(SA) | 5 | \$15,000 | \$15,000 | \$10,350 | 09/30/2009 | |
| CN 2008-153(SA) | 4 | \$17,500 | \$17,500 | \$12,100 | 09/30/2009 | |
| CN 2008-154(ROP) | 1 | \$5,000 | \$5,000 | \$3,250 | 09/30/2009 | |
| CN 2008-155(LI) | 1 | \$2,500 | \$2,500 | \$1,625 | 09/30/2009 | |
| CN 2008-156(SA) | 1 | \$2,500 | \$2,500 | \$1,750 | 09/30/2009 | |
| CN 2008-157(SA) | 1 | \$5,000 | \$5,000 | \$3,400 | 09/30/2009 | |
| CN 2008-158(SA) | 2 | \$10,000 | \$10,000 | \$6,650 | 09/30/2009 | |
| CN 2008-16(FCS) | 1 | \$5,000 | \$5,000 | \$3,250 | 09/30/2009 | |
| CN 2008-17(HMT) | 5 | \$19,500 | \$19,500 | \$13,730 | 09/30/2009 | |
| CN 2008-18(HSR) | 1 | \$1,000 | \$1,000 | \$550 | 09/30/2009 | |
| CN 2008-19(SA) | 3 | \$7,500 | \$7,500 | \$5,175 | 09/30/2009 | |
| CN 2008-2(SA) | 1 | \$2,500 | \$2,500 | \$1,750 | 09/30/2009 | |
| CN 2008-20(TS) | 2 | \$7,500 | \$7,500 | \$5,250 | 09/30/2009 | |
| CN 2008-21(HMT) | 2 | \$8,000 | \$8,000 | \$5,900 | 09/30/2009 | |
| CN 2008-24(HMT) | 3 | \$8,000 | \$8,000 | \$5,500 | 09/30/2009 | |
| CN 2008-25(SI) | 1 | \$5,000 | \$5,000 | \$3,500 | 09/30/2009 | |
| CN 2008-26(LI) | 1 | \$2,500 | \$2,500 | \$1,750 | 09/30/2009 | |
| CN 2008-27(GC) | 1 | \$5,000 | \$5,000 | \$3,600 | 09/30/2009 | |
| CN 2008-28(HMT) | 4 | \$19,000 | \$19,000 | \$14,800 | 09/30/2009 | |
| CN 2008-29(HMT) | 1 | \$7,500 | \$7,500 | \$5,100 | 09/30/2009 | |
| CN 2008-3(LI) | 2 | \$5,000 | \$5,000 | \$3,300 | 09/30/2009 | |
| CN 2008-30(RSP) | 1 | \$1,000 | \$1,000 | \$670 | 09/30/2009 | |
| CN 2008-31(TS) | 1 | \$5,000 | \$5,000 | \$3,500 | 09/30/2009 | |
| CN 2008-32(SA) | 2 | \$7,500 | \$7,500 | \$5,150 | 09/30/2009 | |
| CN 2008-33(FCS) | 1 | \$2,500 | \$2,500 | \$1,625 | 09/30/2009 | |
| CN 2008-34(HMT) | 4 | \$10,000 | \$10,000 | \$6,700 | 09/30/2009 | |
| CN 2008-35(SA) | 3 | \$7,500 | \$7,500 | \$4,950 | 09/30/2009 | |
| CN 2008-36(SA) | 3 | \$7,500 | \$7,500 | \$5,100 | 09/30/2009 | |
| CN 2008-37(SA) | 2 | \$5,000 | \$5,000 | \$3,400 | 09/30/2009 | |
| CN 2008-38(HS) | 1 | \$1,000 | \$1,000 | \$700 | 09/30/2009 | |
| CN 2008-39(AR) | 1 | \$2,500 | \$2,500 | \$1,500 | 09/30/2009 | |
| CN 2008-4(TS) | 1 | \$2,500 | \$2,500 | \$1,750 | 09/30/2009 | |
| CN 2008-40(LI) | 2 | \$4,000 | \$4,000 | \$2,600 | 09/30/2009 | |
| CN 2008-41(GC) | 1 | \$5,000 | \$5,000 | \$3,600 | 09/30/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|-----------------|------------------------------|-------------|-------------|------------------------------|----------------------------|-----------------|
| CN 2008-42(TS) | 1 | \$2,500 | \$2,500 | \$1,650 | 09/30/2009 | |
| CN 2008-43(FCS) | 6 | \$15,000 | \$15,000 | \$9,750 | 09/30/2009 | |
| CN 2008-44(SA) | 22 | \$55,000 | \$55,000 | \$37,400 | 09/30/2009 | |
| CN 2008-45(SA) | 4 | \$10,000 | \$10,000 | \$6,850 | 09/30/2009 | |
| CN 2008-46(GC) | 1 | \$5,000 | \$5,000 | \$3,450 | 09/30/2009 | |
| CN 2008-47(FCS) | 1 | \$5,000 | \$5,000 | \$3,250 | 09/30/2009 | |
| CN 2008-49(HSR) | 1 | \$1,000 | \$1,000 | \$550 | 09/30/2009 | |
| CN 2008-5(SA) | 2 | \$7,500 | \$7,500 | \$5,100 | 09/30/2009 | |
| CN 2008-50(HS) | 1 | \$1,000 | \$1,000 | \$680 | 09/30/2009 | |
| CN 2008-51(HMT) | 3 | \$17,500 | \$17,500 | \$12,575 | 09/30/2009 | |
| CN 2008-52(SA) | 3 | \$10,000 | \$10,000 | \$6,850 | 09/30/2009 | |
| CN 2008-53(SA) | 2 | \$10,000 | \$10,000 | \$6,500 | 09/30/2009 | |
| CN 2008-54(TS) | 1 | \$5,000 | \$5,000 | \$3,350 | 09/30/2009 | |
| CN 2008-55(HMT) | 5 | \$18,500 | \$18,500 | \$13,270 | 09/30/2009 | |
| CN 2008-56(SA) | 3 | \$10,000 | \$10,000 | \$6,800 | 09/30/2009 | |
| CN 2008-57(SA) | 3 | \$10,000 | \$10,000 | \$6,900 | 09/30/2009 | |
| CN 2008-58(TS) | 9 | \$13,000 | \$13,000 | \$8,450 | 09/30/2009 | |
| CN 2008-59(HSR) | 1 | \$1,000 | \$1,000 | \$650 | 09/30/2009 | |
| CN 2008-6(SA) | 4 | \$10,000 | \$10,000 | \$6,825 | 09/30/2009 | |
| CN 2008-61(RW) | 2 | \$2,000 | \$2,000 | \$1,360 | 09/30/2009 | |
| CN 2008-62(SA) | 4 | \$14,000 | \$14,000 | \$9,300 | 09/30/2009 | |
| CN 2008-63(SA) | 4 | \$11,500 | \$11,500 | \$7,550 | 09/30/2009 | |
| CN 2008-64(ROR) | 9 | \$45,000 | \$45,000 | \$28,800 | 09/30/2009 | |
| CN 2008-65(HS) | 1 | \$1,000 | \$1,000 | \$730 | 09/30/2009 | |
| CN 2008-66(FCS) | 1 | \$2,500 | \$2,500 | \$1,625 | 09/30/2009 | |
| CN 2008-67(EQ) | 1 | \$1,000 | \$1,000 | \$675 | 09/30/2009 | |
| CN 2008-68(LI) | 5 | \$12,500 | \$12,500 | \$8,225 | 09/30/2009 | |
| CN 2008-69(SA) | 5 | \$12,500 | \$12,500 | \$8,650 | 09/30/2009 | |
| CN 2008-7(SA) | 3 | \$15,000 | \$15,000 | \$10,200 | 09/30/2009 | |
| CN 2008-70(SA) | 4 | \$10,000 | \$10,000 | \$6,900 | 09/30/2009 | |
| CN 2008-71(SA) | 3 | \$7,500 | \$7,500 | \$5,175 | 09/30/2009 | |
| CN 2008-73(TS) | 7 | \$7,000 | \$7,000 | \$4,830 | 09/30/2009 | |
| CN 2008-74(TS) | 3 | \$12,500 | \$12,500 | \$8,225 | 09/30/2009 | |
| CN 2008-75(TS) | 2 | \$6,000 | \$6,000 | \$4,320 | 09/30/2009 | |
| CN 2008-76(HMT) | 1 | \$4,000 | \$4,000 | \$3,200 | 09/30/2009 | |
| CN 2008-77(REM) | 1 | \$5,000 | \$5,000 | \$3,100 | 09/30/2009 | |
| CN 2008-78(SA) | 3 | \$12,500 | \$12,500 | \$8,125 | 09/30/2009 | |
| CN 2008-79(LI) | 2 | \$6,000 | \$6,000 | \$4,150 | 09/30/2009 | |
| CN 2008-8(SA) | 9 | \$22,500 | \$22,500 | \$15,025 | 09/30/2009 | |
| CN 2008-80(SA) | 1 | \$5,000 | \$5,000 | \$3,250 | 09/30/2009 | |
| CN 2008-81(SA) | 3 | \$7,500 | \$7,500 | \$5,025 | 09/30/2009 | |
| CN 2008-82(PEP) | 1 | \$2,500 | \$2,500 | \$1,675 | 09/30/2009 | |
| CN 2008-83(LI) | 1 | \$1,000 | \$1,000 | \$650 | 09/30/2009 | |
| CN 2008-84(SI) | 1 | \$1,000 | \$1,000 | \$650 | 09/30/2009 | |
| CN 2008-85(GC) | 1 | \$2,500 | \$2,500 | \$1,850 | 09/30/2009 | |
| CN 2008-86(LI) | 1 | \$2,500 | \$2,500 | \$1,700 | 09/30/2009 | |
| CN 2008-87(LI) | 1 | \$2,500 | \$2,500 | \$1,625 | 09/30/2009 | |
| CN 2008-88(SA) | 4 | \$15,000 | \$15,000 | \$9,950 | 09/30/2009 | |
| CN 2008-89(SA) | 3 | \$12,500 | \$12,500 | \$8,275 | 09/30/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|-------------------|--------------------------|-------------|-------------|--------------------------|------------------------|--|
| CN 2008-9(FCS) | 3 | \$12,500 | \$12,500 | \$8,125 | 09/30/2009 | |
| CN 2008-90(HMT) | 6 | \$28,500 | \$28,500 | \$20,300 | 09/30/2009 | |
| CN 2008-91(HMT) | 6 | \$23,500 | \$23,500 | \$16,650 | 09/30/2009 | |
| CN 2008-92(SA) | 4 | \$12,500 | \$12,500 | \$8,500 | 09/30/2009 | |
| CN 2008-93(LI) | 1 | \$2,500 | \$2,500 | \$1,625 | 09/30/2009 | |
| CN 2008-94(HMT) | 1 | \$2,500 | \$2,500 | \$1,625 | 09/30/2009 | |
| CN 2008-95(SA) | 1 | \$2,500 | \$2,500 | \$1,625 | 09/30/2009 | |
| CN 2008-96(SA) | 3 | \$12,500 | \$12,500 | \$8,600 | 09/30/2009 | |
| CN 2008-97(FCS) | 1 | \$5,000 | \$5,000 | \$3,250 | 09/30/2009 | |
| CN 2008-98(SA) | 6 | \$25,000 | \$25,000 | \$17,225 | 09/30/2009 | |
| CN 2008-99(PEP) | 6 | \$30,000 | \$30,000 | \$21,600 | 09/30/2009 | |
| CORP 2006-10(LI) | 2 | \$5,000 | \$2,500 | \$1,675 | 07/02/2009 | Terminated Violation#: 2 |
| CORP 2006-11(SI) | 1 | \$5,000 | \$5,000 | \$2,750 | 03/09/2009 | |
| CORP 2006-13(SA) | 1 | \$5,000 | \$5,000 | \$3,750 | 03/09/2009 | |
| CORP 2006-14(SI) | 1 | \$1,000 | \$1,000 | \$600 | 03/09/2009 | |
| CORP 2006-2(SA) | 1 | \$5,000 | \$1,500 | \$1,000 | 03/09/2009 | |
| CORP 2006-9(RSP) | 1 | \$1,000 | \$1,000 | \$610 | 07/02/2009 | |
| CORP 2007-1(TS) | 3 | \$15,000 | \$15,000 | \$7,500 | 07/05/2009 | |
| CORP 2007-10(SA) | 1 | \$2,500 | \$2,500 | \$1,500 | 03/09/2009 | |
| CORP 2007-11(HSR) | 1 | \$1,000 | \$1,000 | \$550 | 03/09/2009 | |
| CORP 2007-12(SA) | 1 | \$2,500 | \$2,500 | \$1,750 | 05/08/2009 | |
| CORP 2007-13(TS) | 1 | \$1,000 | \$1,000 | \$650 | 03/09/2009 | |
| CORP 2007-15(SI) | 1 | \$5,000 | \$2,500 | \$1,700 | 05/08/2009 | Violation# 1 - wrong penalty assessed. |
| CORP 2007-16(SA) | 1 | \$2,500 | \$2,500 | \$1,750 | 05/08/2009 | |
| CORP 2007-17(TS) | 2 | \$10,000 | \$10,000 | \$6,000 | 05/08/2009 | |
| CORP 2007-18(GC) | 2 | \$7,500 | \$7,500 | \$5,000 | 05/08/2009 | |
| CORP 2007-19(HS) | 1 | \$2,000 | \$2,000 | \$610 | 05/08/2009 | |
| CORP 2007-2(TS) | 3 | \$10,000 | \$10,000 | \$5,000 | 07/05/2009 | |
| CORP 2007-3(TS) | 1 | \$1,000 | \$1,000 | \$750 | 07/05/2009 | |
| CORP 2007-4(LI) | 1 | \$5,000 | \$5,000 | \$3,350 | 05/08/2009 | |
| CORP 2007-5(LI) | 1 | \$2,500 | \$2,500 | \$1,300 | 03/09/2009 | |
| CORP 2007-6(TS) | 2 | \$10,000 | \$10,000 | \$5,750 | 03/09/2009 | |
| CORP 2007-7(TS) | 1 | \$2,500 | \$2,500 | \$1,500 | 03/09/2009 | |
| CORP 2007-8(GC) | 1 | \$5,000 | \$5,000 | \$2,750 | 03/09/2009 | |
| CORP 2007-9(TS) | 1 | \$2,500 | \$2,500 | \$1,500 | 03/09/2009 | |
| CORP 2008-1(SA) | 1 | \$2,500 | \$2,500 | \$1,750 | 05/08/2009 | |
| CORP 2008-10(SA) | 2 | \$10,000 | \$10,000 | \$7,300 | 07/05/2009 | |
| CORP 2008-2(TS) | 1 | \$5,000 | \$5,000 | \$3,600 | 07/05/2009 | |
| CORP 2008-3(TS) | 1 | \$5,000 | \$5,000 | \$3,600 | 07/05/2009 | |
| CORP 2008-6(RW) | 1 | \$1,000 | \$1,000 | \$700 | 05/08/2009 | |
| CORP 2008-7(SI) | 1 | \$1,000 | \$1,000 | \$650 | 05/08/2009 | |
| CORP 2008-8(SA) | 1 | \$2,500 | \$2,500 | \$1,250 | 05/08/2009 | |
| CORP 2008-9(TS) | 1 | \$1,000 | \$1,000 | \$720 | 05/08/2009 | |
| CP 2008-10(GC) | 1 | \$5,000 | \$5,000 | \$5,000 | 07/06/2009 | |
| CP 2008-11(TS) | 1 | \$5,000 | \$5,000 | \$3,200 | 07/06/2009 | |
| CP 2008-12(SA) | 1 | \$2,500 | \$2,500 | \$1,700 | 07/06/2009 | |
| CP 2008-14(EP) | 1 | \$1,000 | \$0 | \$0 | 05/22/2009 | Case Terminated. |
| CP 2008-19(SA) | 1 | \$5,000 | \$5,000 | \$3,000 | 07/06/2009 | |
| CP 2008-20(SA) | 1 | \$5,000 | \$5,000 | \$3,000 | 07/06/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|-----------------|------------------------------|-------------|-------------|------------------------------|----------------------------|--------------------------------------|
| CP 2008-21(HMT) | 1 | \$5,000 | \$5,000 | \$3,000 | 07/06/2009 | |
| CP 2008-22(SA) | 1 | \$5,000 | \$5,000 | \$3,000 | 07/06/2009 | |
| CP 2008-23(RSP) | 1 | \$1,000 | \$1,000 | \$550 | 07/06/2009 | |
| CP 2008-7(SA) | 2 | \$7,500 | \$7,500 | \$5,000 | 07/06/2009 | |
| CP 2008-8(HMT) | 3 | \$6,000 | \$6,000 | \$3,500 | 07/06/2009 | |
| CP 2008-9(TS) | 1 | \$2,500 | \$0 | \$0 | 05/22/2009 | Case Terminated. |
| CP 2009-1(HS) | 1 | \$1,000 | \$1,000 | \$650 | 07/06/2009 | |
| CP 2009-2(SA) | 1 | \$2,500 | \$2,500 | \$1,700 | 07/06/2009 | |
| CP 2009-3(SA) | 1 | \$2,500 | \$2,500 | \$1,700 | 07/06/2009 | |
| CP 2009-4(EO) | 1 | \$2,500 | \$2,500 | \$2,000 | 07/06/2009 | |
| CP 2009-5(GC) | 1 | \$5,000 | \$5,000 | \$3,000 | 07/06/2009 | |
| CR 2008-10(HS) | 10 | \$10,000 | \$10,000 | \$6,500 | 08/04/2009 | |
| CR 2008-11(HS) | 10 | \$10,000 | \$10,000 | \$6,500 | 08/04/2009 | |
| CR 2008-12(HS) | 4 | \$4,000 | \$4,000 | \$2,600 | 08/04/2009 | |
| CR 2008-13(SA) | 1 | \$5,000 | \$5,000 | \$2,500 | 08/04/2009 | |
| CR 2008-14(GC) | 1 | \$2,500 | \$2,500 | \$1,250 | 08/04/2009 | |
| CR 2008-15(LI) | 2 | \$2,000 | \$2,000 | \$1,300 | 08/04/2009 | |
| CR 2008-16(SA) | 1 | \$2,500 | \$2,500 | \$1,875 | 08/04/2009 | |
| CR 2008-21(HMT) | 5 | \$25,000 | \$25,000 | \$12,500 | 08/04/2009 | |
| CR 2008-22(SI) | 1 | \$2,500 | \$2,500 | \$1,875 | 08/04/2009 | |
| CR 2008-23(HS) | 5 | \$5,000 | \$5,000 | \$3,250 | 08/04/2009 | |
| CR 2008-24(HSR) | 1 | \$1,000 | \$1,000 | \$650 | 08/04/2009 | |
| CR 2008-25(SI) | 2 | \$7,500 | \$7,500 | \$7,500 | 08/04/2009 | |
| CR 2008-26(ROR) | 5 | \$25,000 | \$25,000 | \$15,000 | 08/04/2009 | |
| CR 2008-27(ROR) | 5 | \$20,000 | \$20,000 | \$5,600 | 08/04/2009 | Terminated Violation(s)#: 3 |
| CR 2008-28(ROR) | 5 | \$12,500 | \$7,500 | \$4,500 | 08/04/2009 | Terminated Violation(s)#: 1 and 4 |
| CR 2008-29(ROR) | 5 | \$12,500 | \$12,500 | \$4,100 | 08/04/2009 | Terminated Violation(s)#: 4 |
| CR 2008-3(HMT) | 5 | \$30,500 | \$30,500 | \$24,200 | 08/04/2009 | |
| CR 2008-30(RW) | 1 | \$5,000 | \$5,000 | \$2,500 | 08/04/2009 | |
| CR 2008-31(SA) | 2 | \$10,000 | \$10,000 | \$5,750 | 08/04/2009 | |
| CR 2008-32(HSR) | 1 | \$1,000 | \$1,000 | \$1,000 | 08/04/2009 | |
| CR 2008-33(ROR) | 1 | \$2,500 | \$2,500 | \$1,500 | 08/04/2009 | |
| CR 2008-34(AR) | 1 | \$2,500 | \$0 | \$0 | 08/04/2009 | Case Terminated. |
| CR 2008-35(ROR) | 1 | \$5,000 | \$5,000 | \$550 | 08/04/2009 | |
| CR 2008-4(HS) | 6 | \$6,000 | \$6,000 | \$3,900 | 08/04/2009 | |
| CR 2008-5(HS) | 10 | \$10,000 | \$10,000 | \$6,500 | 08/04/2009 | |
| CR 2008-6(HS) | 10 | \$10,000 | \$10,000 | \$6,500 | 08/04/2009 | |
| CR 2008-7(HS) | 10 | \$10,000 | \$10,000 | \$6,500 | 08/04/2009 | |
| CR 2008-8(HS) | 4 | \$4,000 | \$4,000 | \$2,600 | 08/04/2009 | |
| CR 2008-9(HS) | 10 | \$10,000 | \$10,000 | \$6,500 | 08/04/2009 | |
| CR 2009-2(SA) | 1 | \$5,000 | \$5,000 | \$3,250 | 08/04/2009 | |
| CR 2009-3(HMT) | 2 | \$11,500 | \$11,500 | \$8,625 | 08/04/2009 | |
| CR 2009-4(SA) | 1 | \$5,000 | \$5,000 | \$3,250 | 08/04/2009 | |
| CR 2009-5(RW) | 2 | \$5,000 | \$5,000 | \$5,000 | 08/04/2009 | |
| CR 2009-6(HS) | 3 | \$3,000 | \$3,000 | \$1,950 | 08/04/2009 | |
| CRRX 2008-1(EQ) | 1 | \$1,000 | \$1,000 | \$1,000 | 06/18/2009 | |
| CSCD 2007-2(TS) | 1 | \$1,000 | \$1,000 | \$700 | 09/11/2009 | |
| CSCD 2008-1(TS) | 1 | \$2,500 | \$2,500 | \$1,600 | 09/11/2009 | |
| CSCD 2008-2(TS) | 3 | \$12,500 | \$12,500 | \$8,000 | 09/11/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|-------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|--|
| CSX 2007-242(TS) | 2 | \$7,500 | \$7,500 | \$4,875 | 09/30/2009 | |
| CSX 2007-295(LI) | 8 | \$18,500 | \$16,000 | \$9,700 | 09/30/2009 | Terminated Violation(s)#: 3 |
| CSX 2007-309(AR) | 1 | \$2,500 | \$0 | \$0 | 09/30/2009 | Case Terminated. |
| CSX 2007-340(HSR) | 1 | \$1,000 | \$1,000 | \$650 | 09/30/2009 | |
| CSX 2007-342(AR) | 1 | \$2,500 | \$0 | \$0 | 09/30/2009 | Case Terminated. |
| CSX 2007-350(HMT) | 1 | \$5,000 | \$5,000 | \$3,200 | 09/30/2009 | |
| CSX 2007-351(GC) | 1 | \$2,500 | \$2,500 | \$1,700 | 09/30/2009 | |
| CSX 2007-359(FCS) | 2 | \$7,500 | \$7,500 | \$4,800 | 09/30/2009 | |
| CSX 2007-368(FCS) | 2 | \$5,000 | \$5,000 | \$2,900 | 09/30/2009 | |
| CSX 2007-378(HMT) | 1 | \$2,000 | \$2,000 | \$1,250 | 09/30/2009 | |
| CSX 2007-380(ROP) | 1 | \$5,000 | \$5,000 | \$4,000 | 09/30/2009 | |
| CSX 2007-385(AR) | 7 | \$27,500 | \$25,000 | \$15,750 | 09/30/2009 | Terminated Violation(s)#: 7 |
| CSX 2007-386(HMT) | 1 | \$4,000 | \$4,000 | \$2,500 | 09/30/2009 | |
| CSX 2007-391(FCS) | 1 | \$5,000 | \$5,000 | \$3,000 | 09/30/2009 | |
| CSX 2007-398(HMT) | 1 | \$5,000 | \$5,000 | \$3,200 | 09/30/2009 | |
| CSX 2007-404(HSR) | 2 | \$2,000 | \$2,000 | \$1,150 | 09/30/2009 | |
| CSX 2007-415(FCS) | 5 | \$12,500 | \$12,500 | \$7,750 | 09/30/2009 | |
| CSX 2007-416(HMT) | 3 | \$15,500 | \$15,500 | \$9,750 | 09/30/2009 | |
| CSX 2007-420(AR) | 6 | \$15,000 | \$15,000 | \$9,500 | 09/30/2009 | |
| CSX 2007-421(TS) | 1 | \$5,000 | \$5,000 | \$3,300 | 09/30/2009 | |
| CSX 2007-423(HSR) | 1 | \$1,000 | \$1,000 | \$575 | 09/30/2009 | |
| CSX 2008-100(SA) | 5 | \$15,000 | \$15,000 | \$9,000 | 09/30/2009 | |
| CSX 2008-101(SA) | 5 | \$12,500 | \$12,500 | \$7,500 | 09/30/2009 | |
| CSX 2008-102(SA) | 5 | \$12,500 | \$12,500 | \$7,500 | 09/30/2009 | |
| CSX 2008-103(SA) | 7 | \$25,000 | \$17,500 | \$11,250 | 09/30/2009 | Partially Terminated Violation: 2 from 5000 to 2500 Terminated Violation(s)#: 3 |
| CSX 2008-104(SA) | 2 | \$5,000 | \$5,000 | \$3,000 | 09/30/2009 | |
| CSX 2008-105(ROP) | 1 | \$5,000 | \$5,000 | \$3,050 | 09/30/2009 | |
| CSX 2008-106(HSR) | 2 | \$2,000 | \$2,000 | \$1,350 | 09/30/2009 | |
| CSX 2008-107(HMT) | 1 | \$4,000 | \$4,000 | \$2,550 | 09/30/2009 | |
| CSX 2008-108(SA) | 5 | \$25,000 | \$25,000 | \$15,850 | 09/30/2009 | |
| CSX 2008-109(SA) | 5 | \$22,500 | \$22,500 | \$14,175 | 09/30/2009 | |
| CSX 2008-110(SA) | 5 | \$25,000 | \$25,000 | \$15,750 | 09/30/2009 | |
| CSX 2008-111(SA) | 5 | \$22,500 | \$22,500 | \$14,300 | 09/30/2009 | |
| CSX 2008-112(SA) | 4 | \$17,500 | \$17,500 | \$11,200 | 09/30/2009 | |
| CSX 2008-113(SA) | 4 | \$20,000 | \$20,000 | \$13,300 | 09/30/2009 | |
| CSX 2008-114(SA) | 4 | \$15,000 | \$15,000 | \$9,750 | 09/30/2009 | |
| CSX 2008-115(FCS) | 1 | \$2,500 | \$2,500 | \$1,600 | 09/30/2009 | |
| CSX 2008-116(HSR) | 5 | \$5,000 | \$5,000 | \$3,100 | 09/30/2009 | |
| CSX 2008-117(LI) | 2 | \$5,000 | \$5,000 | \$3,400 | 09/30/2009 | |
| CSX 2008-118(LI) | 8 | \$18,000 | \$15,000 | \$9,400 | 09/30/2009 | Terminated Violation(s)#: 5, 6 |
| CSX 2008-119(LI) | 3 | \$10,000 | \$10,000 | \$7,650 | 09/30/2009 | |
| CSX 2008-120(SA) | 4 | \$12,500 | \$12,500 | \$8,000 | 09/30/2009 | |
| CSX 2008-121(SA) | 5 | \$25,000 | \$25,000 | \$16,000 | 09/30/2009 | |
| CSX 2008-122(LI) | 3 | \$7,500 | \$7,500 | \$5,400 | 09/30/2009 | |
| CSX 2008-123(RW) | 2 | \$4,000 | \$4,000 | \$2,700 | 09/30/2009 | |
| CSX 2008-124(EQ) | 10 | \$10,000 | \$10,000 | \$6,300 | 09/30/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|-------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|--------------------------------|
| CSX 2008-125(AD) | 1 | \$5,000 | \$5,000 | \$3,250 | 09/30/2009 | |
| CSX 2008-127(SA) | 5 | \$25,000 | \$25,000 | \$16,500 | 09/30/2009 | |
| CSX 2008-128(LI) | 1 | \$2,500 | \$2,500 | \$1,600 | 09/30/2009 | |
| CSX 2008-129(TS) | 1 | \$2,500 | \$2,500 | \$1,550 | 09/30/2009 | |
| CSX 2008-130(TS) | 2 | \$6,000 | \$6,000 | \$3,700 | 09/30/2009 | |
| CSX 2008-132(TS) | 3 | \$10,000 | \$10,000 | \$6,400 | 09/30/2009 | |
| CSX 2008-133(HMT) | 2 | \$14,000 | \$14,000 | \$8,900 | 09/30/2009 | |
| CSX 2008-134(TS) | 2 | \$7,500 | \$7,500 | \$4,950 | 09/30/2009 | |
| CSX 2008-135(SA) | 5 | \$20,000 | \$20,000 | \$12,700 | 09/30/2009 | |
| CSX 2008-136(SA) | 4 | \$15,000 | \$15,000 | \$9,700 | 09/30/2009 | |
| CSX 2008-137(SA) | 5 | \$20,000 | \$20,000 | \$13,025 | 09/30/2009 | |
| CSX 2008-138(FCS) | 6 | \$15,000 | \$15,000 | \$9,700 | 09/30/2009 | |
| CSX 2008-139(FCS) | 5 | \$13,500 | \$13,500 | \$9,600 | 09/30/2009 | |
| CSX 2008-14(FCS) | 1 | \$2,500 | \$2,500 | \$1,600 | 09/30/2009 | |
| CSX 2008-140(HMT) | 1 | \$7,500 | \$7,500 | \$4,650 | 09/30/2009 | |
| CSX 2008-141(GC) | 1 | \$2,500 | \$2,500 | \$1,700 | 09/30/2009 | |
| CSX 2008-142(LI) | 5 | \$12,500 | \$12,500 | \$9,000 | 09/30/2009 | |
| CSX 2008-143(TS) | 1 | \$5,000 | \$5,000 | \$3,200 | 09/30/2009 | |
| CSX 2008-144(HMT) | 2 | \$9,500 | \$9,500 | \$5,950 | 09/30/2009 | |
| CSX 2008-146(ROP) | 3 | \$15,000 | \$0 | \$0 | 09/30/2009 | Case Terminated. |
| CSX 2008-147(ROR) | 3 | \$15,000 | \$5,000 | \$3,250 | 09/30/2009 | Terminated Violation(s)#: 2, 3 |
| CSX 2008-149(SA) | 5 | \$17,500 | \$17,500 | \$11,575 | 09/30/2009 | |
| CSX 2008-150(SA) | 5 | \$15,000 | \$15,000 | \$9,750 | 09/30/2009 | |
| CSX 2008-151(SA) | 4 | \$17,500 | \$17,500 | \$11,450 | 09/30/2009 | |
| CSX 2008-152(SA) | 4 | \$17,500 | \$17,500 | \$11,450 | 09/30/2009 | |
| CSX 2008-153(SA) | 4 | \$15,000 | \$15,000 | \$9,800 | 09/30/2009 | |
| CSX 2008-154(LI) | 3 | \$7,500 | \$5,000 | \$3,250 | 09/30/2009 | Terminated Violation(s)#: 2 |
| CSX 2008-155(LI) | 3 | \$12,500 | \$12,500 | \$9,000 | 09/30/2009 | |
| CSX 2008-156(TS) | 1 | \$2,500 | \$2,500 | \$1,575 | 09/30/2009 | |
| CSX 2008-157(AR) | 9 | \$22,500 | \$20,000 | \$12,400 | 09/30/2009 | Terminated Violation(s)#: 4 |
| CSX 2008-158(LI) | 2 | \$7,500 | \$7,500 | \$5,200 | 09/30/2009 | |
| CSX 2008-159(GC) | 2 | \$7,500 | \$7,500 | \$5,400 | 09/30/2009 | |
| CSX 2008-160(SA) | 4 | \$12,500 | \$12,500 | \$8,150 | 09/30/2009 | |
| CSX 2008-161(SA) | 4 | \$12,500 | \$12,500 | \$8,150 | 09/30/2009 | |
| CSX 2008-163(LI) | 2 | \$3,500 | \$3,500 | \$2,250 | 09/30/2009 | |
| CSX 2008-164(LI) | 1 | \$2,500 | \$2,500 | \$1,250 | 09/30/2009 | |
| CSX 2008-165(SA) | 3 | \$7,500 | \$7,500 | \$4,900 | 09/30/2009 | |
| CSX 2008-166(FCS) | 2 | \$5,000 | \$5,000 | \$3,150 | 09/30/2009 | |
| CSX 2008-167(HMT) | 2 | \$2,000 | \$2,000 | \$1,250 | 09/30/2009 | |
| CSX 2008-168(ROR) | 2 | \$10,000 | \$0 | \$0 | 09/30/2009 | Case Terminated. |
| CSX 2008-169(LI) | 1 | \$2,500 | \$2,500 | \$1,650 | 09/30/2009 | |
| CSX 2008-17(SA) | 4 | \$17,500 | \$15,000 | \$9,625 | 09/30/2009 | Terminated Violation(s)#: 1 |
| CSX 2008-170(TS) | 25 | \$62,500 | \$62,500 | \$34,730 | 09/30/2009 | |
| CSX 2008-171(TS) | 30 | \$75,000 | \$75,000 | \$45,000 | 09/30/2009 | |
| CSX 2008-172(TS) | 2 | \$6,000 | \$6,000 | \$3,900 | 09/30/2009 | |
| CSX 2008-173(SA) | 3 | \$15,000 | \$15,000 | \$9,500 | 09/30/2009 | |
| CSX 2008-174(HMT) | 1 | \$2,000 | \$2,000 | \$1,250 | 09/30/2009 | |
| CSX 2008-175(TS) | 1 | \$5,000 | \$5,000 | \$3,250 | 09/30/2009 | |
| CSX 2008-176(SA) | 3 | \$12,500 | \$12,500 | \$7,900 | 09/30/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| FRA No. | No. of Violations | POCA | PRCA | Settlement Amount | Settlement Date | Comments |
|-------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|--------------------------------|
| CSX 2008-177(LI) | 1 | \$2,500 | \$2,500 | \$1,650 | 09/30/2009 | |
| CSX 2008-178(HMT) | 7 | \$40,000 | \$40,000 | \$25,400 | 09/30/2009 | |
| CSX 2008-179(TS) | 1 | \$5,000 | \$5,000 | \$3,125 | 09/30/2009 | |
| CSX 2008-180(SA) | 5 | \$22,500 | \$22,500 | \$15,450 | 09/30/2009 | |
| CSX 2008-181(ROP) | 1 | \$5,000 | \$5,000 | \$3,600 | 09/30/2009 | |
| CSX 2008-182(SA) | 1 | \$5,000 | \$5,000 | \$3,100 | 09/30/2009 | |
| CSX 2008-183(RSP) | 1 | \$2,500 | \$2,500 | \$1,550 | 09/30/2009 | |
| CSX 2008-184(RW) | 1 | \$1,000 | \$1,000 | \$625 | 09/30/2009 | |
| CSX 2008-185(LI) | 1 | \$5,000 | \$5,000 | \$3,350 | 09/30/2009 | |
| CSX 2008-186(HSR) | 1 | \$1,000 | \$1,000 | \$575 | 09/30/2009 | |
| CSX 2008-187(FCS) | 1 | \$2,500 | \$2,500 | \$1,500 | 09/30/2009 | |
| CSX 2008-188(HMT) | 3 | \$10,000 | \$10,000 | \$6,400 | 09/30/2009 | |
| CSX 2008-190(LI) | 1 | \$2,500 | \$2,500 | \$1,650 | 09/30/2009 | |
| CSX 2008-191(HMT) | 2 | \$10,000 | \$10,000 | \$6,400 | 09/30/2009 | |
| CSX 2008-192(SA) | 2 | \$7,500 | \$7,500 | \$4,650 | 09/30/2009 | |
| CSX 2008-193(TS) | 1 | \$16,000 | \$16,000 | \$10,950 | 09/30/2009 | |
| CSX 2008-20(GC) | 1 | \$2,500 | \$2,500 | \$1,800 | 09/30/2009 | |
| CSX 2008-201(TS) | 1 | \$1,000 | \$1,000 | \$650 | 09/30/2009 | |
| CSX 2008-202(HSR) | 8 | \$8,000 | \$8,000 | \$5,700 | 09/30/2009 | |
| CSX 2008-203(FCS) | 1 | \$2,500 | \$2,500 | \$1,600 | 09/30/2009 | |
| CSX 2008-204(HMT) | 6 | \$40,000 | \$25,000 | \$16,300 | 09/30/2009 | Terminated Violation(s)#: 2, 3 |
| CSX 2008-205(SI) | 1 | \$5,000 | \$5,000 | \$3,800 | 09/30/2009 | |
| CSX 2008-206(TH) | 6 | \$30,000 | \$30,000 | \$16,100 | 09/30/2009 | |
| CSX 2008-208(SA) | 1 | \$2,500 | \$2,500 | \$1,600 | 09/30/2009 | |
| CSX 2008-210(TS) | 2 | \$5,000 | \$5,000 | \$3,075 | 09/30/2009 | |
| CSX 2008-211(RW) | 2 | \$2,000 | \$2,000 | \$1,250 | 09/30/2009 | |
| CSX 2008-212(FCS) | 9 | \$27,500 | \$27,500 | \$19,150 | 09/30/2009 | |
| CSX 2008-213(HMT) | 3 | \$14,500 | \$14,500 | \$9,050 | 09/30/2009 | |
| CSX 2008-214(HMT) | 5 | \$37,500 | \$37,500 | \$23,800 | 09/30/2009 | |
| CSX 2008-215(RW) | 1 | \$1,000 | \$1,000 | \$550 | 09/30/2009 | |
| CSX 2008-216(LI) | 4 | \$10,000 | \$10,000 | \$7,000 | 09/30/2009 | |
| CSX 2008-217(TS) | 2 | \$7,500 | \$7,500 | \$4,750 | 09/30/2009 | |
| CSX 2008-218(HSR) | 10 | \$10,000 | \$10,000 | \$6,300 | 09/30/2009 | |
| CSX 2008-219(HSR) | 8 | \$8,000 | \$8,000 | \$5,100 | 09/30/2009 | |
| CSX 2008-220(SA) | 5 | \$20,000 | \$20,000 | \$12,500 | 09/30/2009 | |
| CSX 2008-221(SA) | 5 | \$22,500 | \$22,500 | \$13,700 | 09/30/2009 | |
| CSX 2008-222(SA) | 2 | \$7,500 | \$7,500 | \$4,950 | 09/30/2009 | |
| CSX 2008-223(SI) | 1 | \$2,500 | \$2,500 | \$1,600 | 09/30/2009 | |
| CSX 2008-224(TS) | 1 | \$5,000 | \$5,000 | \$3,350 | 09/30/2009 | |
| CSX 2008-225(TS) | 3 | \$6,000 | \$6,000 | \$3,750 | 09/30/2009 | |
| CSX 2008-226(HMT) | 3 | \$11,000 | \$7,000 | \$4,400 | 09/30/2009 | Terminated Violation(s)#: 1 |
| CSX 2008-227(FCS) | 1 | \$5,000 | \$5,000 | \$3,300 | 09/30/2009 | |
| CSX 2008-228(SA) | 2 | \$10,000 | \$10,000 | \$6,300 | 09/30/2009 | |
| CSX 2008-229(HSR) | 1 | \$1,000 | \$1,000 | \$660 | 09/30/2009 | |
| CSX 2008-23(FCS) | 2 | \$7,500 | \$7,500 | \$5,900 | 09/30/2009 | |
| CSX 2008-230(AR) | 1 | \$2,500 | \$0 | \$0 | 09/30/2009 | Case Terminated |
| CSX 2008-231(SA) | 5 | \$19,500 | \$19,500 | \$13,050 | 09/30/2009 | |
| CSX 2008-232(SA) | 1 | \$5,000 | \$5,000 | \$3,025 | 09/30/2009 | |
| CSX 2008-233(SA) | 4 | \$20,000 | \$20,000 | \$12,750 | 09/30/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|-------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|--|
| CSX 2008-236(LI) | 5 | \$10,500 | \$10,500 | \$6,350 | 09/30/2009 | |
| CSX 2008-237(LI) | 1 | \$1,000 | \$1,000 | \$585 | 09/30/2009 | |
| CSX 2008-238(SA) | 2 | \$5,000 | \$5,000 | \$3,350 | 09/30/2009 | |
| CSX 2008-240(LI) | 4 | \$10,000 | \$10,000 | \$6,150 | 09/30/2009 | |
| CSX 2008-241(ROR) | 4 | \$10,000 | \$10,000 | \$6,900 | 09/30/2009 | |
| CSX 2008-242(SA) | 1 | \$2,500 | \$2,500 | \$1,600 | 09/30/2009 | |
| CSX 2008-244(ROR) | 3 | \$10,000 | \$10,000 | \$6,500 | 09/30/2009 | |
| CSX 2008-245(FCS) | 3 | \$7,500 | \$7,500 | \$1,950 | 09/30/2009 | |
| CSX 2008-246(HMT) | 4 | \$24,500 | \$24,500 | \$15,500 | 09/30/2009 | |
| CSX 2008-247(SA) | 4 | \$20,000 | \$20,000 | \$13,350 | 09/30/2009 | |
| CSX 2008-248(ROR) | 1 | \$5,000 | \$5,000 | \$3,800 | 09/30/2009 | |
| CSX 2008-249(FCS) | 5 | \$11,000 | \$11,000 | \$6,900 | 09/30/2009 | |
| CSX 2008-250(SA) | 5 | \$12,500 | \$12,500 | \$8,000 | 09/30/2009 | |
| CSX 2008-251(FCS) | 6 | \$13,500 | \$13,500 | \$9,000 | 09/30/2009 | |
| CSX 2008-252(SA) | 5 | \$20,000 | \$20,000 | \$13,375 | 09/30/2009 | |
| CSX 2008-253(GC) | 1 | \$5,000 | \$5,000 | \$3,900 | 09/30/2009 | |
| CSX 2008-254(HMT) | 1 | \$2,000 | \$2,000 | \$1,250 | 09/30/2009 | |
| CSX 2008-255(SA) | 2 | \$5,000 | \$5,000 | \$3,100 | 09/30/2009 | |
| CSX 2008-257(RW) | 1 | \$1,000 | \$1,000 | \$550 | 09/30/2009 | |
| CSX 2008-259(TS) | 2 | \$10,000 | \$10,000 | \$6,600 | 09/30/2009 | |
| CSX 2008-260(FCS) | 1 | \$2,000 | \$2,000 | \$1,400 | 09/30/2009 | |
| CSX 2008-262(SI) | 1 | \$2,500 | \$2,500 | \$1,600 | 09/30/2009 | |
| CSX 2008-263(SA) | 5 | \$20,000 | \$20,000 | \$12,600 | 09/30/2009 | |
| CSX 2008-264(TS) | 2 | \$6,000 | \$6,000 | \$3,750 | 09/30/2009 | |
| CSX 2008-268(LI) | 3 | \$7,500 | \$7,500 | \$4,650 | 09/30/2009 | |
| CSX 2008-269(SA) | 2 | \$5,000 | \$5,000 | \$3,200 | 09/30/2009 | |
| CSX 2008-270(SA) | 3 | \$10,000 | \$10,000 | \$6,525 | 09/30/2009 | |
| CSX 2008-271(TS) | 2 | \$10,000 | \$10,000 | \$6,425 | 09/30/2009 | |
| CSX 2008-272(TS) | 1 | \$5,000 | \$5,000 | \$3,275 | 09/30/2009 | |
| CSX 2008-275(SA) | 2 | \$7,500 | \$7,500 | \$5,000 | 09/30/2009 | |
| CSX 2008-277(HS) | 2 | \$2,000 | \$2,000 | \$1,250 | 09/30/2009 | |
| CSX 2008-278(HS) | 1 | \$1,000 | \$1,000 | \$675 | 09/30/2009 | |
| CSX 2008-279(GC) | 1 | \$5,000 | \$5,000 | \$3,900 | 09/30/2009 | |
| CSX 2008-280(ROR) | 1 | \$5,000 | \$5,000 | \$3,100 | 09/30/2009 | |
| CSX 2008-281(SI) | 1 | \$2,500 | \$2,500 | \$1,700 | 09/30/2009 | |
| CSX 2008-282(GC) | 1 | \$5,000 | \$5,000 | \$3,900 | 09/30/2009 | |
| CSX 2008-284(ROP) | 1 | \$2,500 | \$0 | \$0 | 09/30/2009 | Case Terminated. |
| CSX 2008-285(HSR) | 1 | \$1,000 | \$1,000 | \$660 | 09/30/2009 | |
| CSX 2008-286(SA) | 7 | \$22,500 | \$17,500 | \$12,375 | 09/30/2009 | Terminated Violation(s)#: 2 |
| CSX 2008-287(SA) | 6 | \$25,000 | \$25,000 | \$16,925 | 09/30/2009 | |
| CSX 2008-288(EQ) | 10 | \$10,000 | \$10,000 | \$6,300 | 09/30/2009 | |
| CSX 2008-289(SA) | 1 | \$2,000 | \$2,000 | \$1,350 | 09/30/2009 | |
| CSX 2008-29(SA) | 4 | \$12,500 | \$12,500 | \$8,250 | 09/30/2009 | |
| CSX 2008-290(HMT) | 1 | \$10,000 | \$6,000 | \$3,900 | 09/30/2009 | Partially Terminated Violation(s)#: 1 |
| CSX 2008-291(FCS) | 1 | \$2,500 | \$2,500 | \$1,700 | 09/30/2009 | |
| CSX 2008-292(ROP) | 1 | \$9,500 | \$9,500 | \$7,000 | 09/30/2009 | |
| CSX 2008-293(TS) | 3 | \$12,500 | \$12,500 | \$8,300 | 09/30/2009 | |
| CSX 2008-294(FCS) | 1 | \$2,500 | \$2,500 | \$1,650 | 09/30/2009 | |
| CSX 2008-295(SA) | 2 | \$7,500 | \$7,500 | \$4,800 | 09/30/2009 | |

**Federal Railroad Administration
Safety Cases Closed in FY 2009**

| FRA No. | No. of Violations | POCA | PRCA | Settlement Amount | Settlement Date | Comments |
|-------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|--|
| CSX 2008-296(RW) | 2 | \$6,000 | \$6,000 | \$4,200 | 09/30/2009 | |
| CSX 2008-297(SA) | 6 | \$25,000 | \$22,500 | \$14,500 | 09/30/2009 | Partially Terminated Violation(s)#: 4 Case Terminated. |
| CSX 2008-298(AR) | 1 | \$2,500 | \$0 | \$0 | 09/30/2009 | |
| CSX 2008-299(HSR) | 9 | \$9,000 | \$9,000 | \$5,650 | 09/30/2009 | |
| CSX 2008-30(TS) | 3 | \$15,000 | \$15,000 | \$9,900 | 09/30/2009 | |
| CSX 2008-300(RSP) | 1 | \$2,500 | \$2,500 | \$550 | 09/30/2009 | |
| CSX 2008-301(SI) | 1 | \$2,500 | \$2,500 | \$1,600 | 09/30/2009 | |
| CSX 2008-303(HSR) | 2 | \$2,000 | \$2,000 | \$1,200 | 09/30/2009 | |
| CSX 2008-304(HS) | 1 | \$1,000 | \$1,000 | \$600 | 09/30/2009 | |
| CSX 2008-32(ROP) | 1 | \$2,000 | \$2,000 | \$1,400 | 09/30/2009 | |
| CSX 2008-38(SA) | 1 | \$5,000 | \$5,000 | \$3,350 | 09/30/2009 | |
| CSX 2008-39(SA) | 3 | \$12,500 | \$12,500 | \$8,250 | 09/30/2009 | |
| CSX 2008-43(TS) | 2 | \$7,500 | \$7,500 | \$4,875 | 09/30/2009 | |
| CSX 2008-45(HMT) | 6 | \$25,500 | \$25,500 | \$16,200 | 09/30/2009 | |
| CSX 2008-47(EQ) | 4 | \$10,000 | \$10,000 | \$6,400 | 09/30/2009 | |
| CSX 2008-49(SA) | 4 | \$15,000 | \$15,000 | \$9,900 | 09/30/2009 | |
| CSX 2008-54(AR) | 1 | \$1,000 | \$1,000 | \$625 | 09/30/2009 | |
| CSX 2008-6(TS) | 31 | \$81,000 | \$81,000 | \$51,340 | 09/30/2009 | |
| CSX 2008-60(AR) | 1 | \$2,500 | \$0 | \$0 | 09/30/2009 | Case Terminated. |
| CSX 2008-61(EQ) | 4 | \$20,000 | \$20,000 | \$13,100 | 09/30/2009 | |
| CSX 2008-65(TS) | 4 | \$20,000 | \$20,000 | \$13,200 | 09/30/2009 | |
| CSX 2008-66(SA) | 3 | \$12,500 | \$12,500 | \$8,300 | 09/30/2009 | |
| CSX 2008-68(GC) | 2 | \$7,500 | \$7,500 | \$5,100 | 09/30/2009 | |
| CSX 2008-69(ROP) | 1 | \$5,000 | \$5,000 | \$4,000 | 09/30/2009 | |
| CSX 2008-70(FCS) | 7 | \$16,500 | \$14,000 | \$9,800 | 09/30/2009 | Terminated Violation(s)#: 3 |
| CSX 2008-71(HSR) | 5 | \$5,000 | \$5,000 | \$3,100 | 09/30/2009 | |
| CSX 2008-72(HS) | 1 | \$1,000 | \$1,000 | \$660 | 09/30/2009 | |
| CSX 2008-73(SA) | 4 | \$20,000 | \$20,000 | \$13,200 | 09/30/2009 | |
| CSX 2008-74(SA) | 3 | \$10,000 | \$10,000 | \$6,200 | 09/30/2009 | |
| CSX 2008-75(SA) | 3 | \$12,500 | \$12,500 | \$7,875 | 09/30/2009 | |
| CSX 2008-76(SA) | 4 | \$17,500 | \$17,500 | \$11,075 | 09/30/2009 | |
| CSX 2008-77(SA) | 2 | \$7,500 | \$7,500 | \$4,750 | 09/30/2009 | |
| CSX 2008-78(HS) | 1 | \$1,000 | \$1,000 | \$610 | 09/30/2009 | |
| CSX 2008-79(SA) | 2 | \$5,000 | \$5,000 | \$2,700 | 09/30/2009 | |
| CSX 2008-80(REM) | 1 | \$5,000 | \$5,000 | \$3,100 | 09/30/2009 | |
| CSX 2008-81(FCS) | 5 | \$15,000 | \$15,000 | \$10,350 | 09/30/2009 | |
| CSX 2008-82(TS) | 1 | \$2,500 | \$2,500 | \$1,600 | 09/30/2009 | |
| CSX 2008-83(HMT) | 1 | \$2,000 | \$2,000 | \$1,250 | 09/30/2009 | |
| CSX 2008-84(SA) | 6 | \$25,000 | \$17,500 | \$11,725 | 09/30/2009 | Terminated Violation(s)#: 3 Partially Terminated Violation(s)#: 6 from 5000 to 2500 |
| CSX 2008-85(SA) | 4 | \$25,000 | \$25,000 | \$16,000 | 09/30/2009 | |
| CSX 2008-86(SA) | 3 | \$15,000 | \$15,000 | \$9,900 | 09/30/2009 | |
| CSX 2008-89(TS) | 1 | \$2,500 | \$2,500 | \$1,600 | 09/30/2009 | |
| CSX 2008-90(SI) | 1 | \$1,000 | \$1,000 | \$625 | 09/30/2009 | |
| CSX 2008-91(SA) | 3 | \$10,000 | \$10,000 | \$6,500 | 09/30/2009 | |
| CSX 2008-93(FCS) | 1 | \$2,500 | \$2,500 | \$1,650 | 09/30/2009 | |
| CSX 2008-94(HMT) | 1 | \$2,000 | \$2,000 | \$1,250 | 09/30/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| FRA No. | No. of Violations | POCA | PRCA | Settlement Amount | Settlement Date | Comments |
|-------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|--|
| CSX 2008-95(SA) | 5 | \$12,500 | \$12,500 | \$7,500 | 09/30/2009 | Partially Terminated Violation(s)#: 1 |
| CSX 2008-96(SA) | 5 | \$17,500 | \$15,000 | \$9,750 | 09/30/2009 | |
| CSX 2008-97(SA) | 4 | \$10,000 | \$10,000 | \$6,000 | 09/30/2009 | |
| CSX 2008-98(SA) | 4 | \$10,000 | \$10,000 | \$6,000 | 09/30/2009 | Partially Terminated Violation(s)#: 9 |
| CSX 2008-99(SA) | 4 | \$10,000 | \$10,000 | \$6,000 | 09/30/2009 | |
| CSX 2009-1(HMT) | 3 | \$17,500 | \$17,500 | \$11,000 | 09/30/2009 | |
| CSX 2009-10(HMT) | 9 | \$21,500 | \$21,500 | \$13,500 | 09/30/2009 | |
| CSX 2009-100(SA) | 4 | \$17,500 | \$17,500 | \$11,250 | 09/30/2009 | |
| CSX 2009-101(SA) | 3 | \$15,000 | \$15,000 | \$9,600 | 09/30/2009 | |
| CSX 2009-102(FCS) | 2 | \$7,500 | \$7,500 | \$5,000 | 09/30/2009 | |
| CSX 2009-11(SA) | 4 | \$15,000 | \$15,000 | \$9,800 | 09/30/2009 | |
| CSX 2009-12(HMT) | 9 | \$48,500 | \$47,500 | \$30,000 | 09/30/2009 | |
| CSX 2009-13(AR) | 4 | \$10,000 | \$10,000 | \$6,300 | 09/30/2009 | |
| CSX 2009-17(SA) | 2 | \$10,000 | \$10,000 | \$6,400 | 09/30/2009 | Case Terminated. |
| CSX 2009-18(EP) | 1 | \$1,000 | \$1,000 | \$670 | 09/30/2009 | |
| CSX 2009-19(LI) | 2 | \$4,000 | \$4,000 | \$2,500 | 09/30/2009 | |
| CSX 2009-2(FCS) | 1 | \$2,500 | \$2,500 | \$1,650 | 09/30/2009 | |
| CSX 2009-20(SA) | 3 | \$10,000 | \$10,000 | \$6,500 | 09/30/2009 | |
| CSX 2009-21(AD) | 1 | \$5,000 | \$5,000 | \$3,000 | 09/30/2009 | |
| CSX 2009-22(HS) | 1 | \$1,000 | \$1,000 | \$700 | 09/30/2009 | |
| CSX 2009-23(SA) | 5 | \$15,000 | \$15,000 | \$9,500 | 09/30/2009 | |
| CSX 2009-24(GC) | 1 | \$5,000 | \$5,000 | \$3,900 | 09/30/2009 | |
| CSX 2009-25(REM) | 1 | \$5,000 | \$5,000 | \$2,900 | 09/30/2009 | |
| CSX 2009-26(ROP) | 1 | \$2,500 | \$0 | \$0 | 09/30/2009 | Case Terminated. |
| CSX 2009-27(EQ) | 10 | \$10,000 | \$10,000 | \$6,300 | 09/30/2009 | |
| CSX 2009-28(SA) | 3 | \$15,000 | \$15,000 | \$9,600 | 09/30/2009 | |
| CSX 2009-3(SA) | 1 | \$2,500 | \$2,500 | \$1,625 | 09/30/2009 | |
| CSX 2009-30(FCS) | 1 | \$5,000 | \$5,000 | \$3,000 | 09/30/2009 | |
| CSX 2009-31(SI) | 2 | \$5,000 | \$5,000 | \$3,300 | 09/30/2009 | |
| CSX 2009-32(TS) | 1 | \$2,500 | \$2,500 | \$1,600 | 09/30/2009 | |
| CSX 2009-33(FCS) | 2 | \$5,000 | \$5,000 | \$3,000 | 09/30/2009 | |
| CSX 2009-34(FCS) | 3 | \$7,000 | \$7,000 | \$3,850 | 09/30/2009 | |
| CSX 2009-35(TS) | 1 | \$5,000 | \$5,000 | \$3,150 | 09/30/2009 | |
| CSX 2009-36(SA) | 5 | \$12,500 | \$12,500 | \$8,200 | 09/30/2009 | Case Terminated. |
| CSX 2009-37(TS) | 1 | \$5,000 | \$5,000 | \$3,250 | 09/30/2009 | |
| CSX 2009-38(TS) | 1 | \$1,000 | \$1,000 | \$660 | 09/30/2009 | |
| CSX 2009-39(SA) | 2 | \$5,000 | \$5,000 | \$3,300 | 09/30/2009 | |
| CSX 2009-4(LI) | 3 | \$4,500 | \$4,500 | \$2,600 | 09/30/2009 | |
| CSX 2009-41(LI) | 1 | \$1,000 | \$1,000 | \$650 | 09/30/2009 | |
| CSX 2009-44(HMT) | 3 | \$13,000 | \$13,000 | \$8,250 | 09/30/2009 | |
| CSX 2009-45(SI) | 1 | \$2,500 | \$2,500 | \$1,600 | 09/30/2009 | |
| CSX 2009-46(FCS) | 1 | \$2,500 | \$2,500 | \$1,700 | 09/30/2009 | |
| CSX 2009-47(SI) | 1 | \$1,000 | \$1,000 | \$700 | 09/30/2009 | |
| CSX 2009-51(HMT) | 4 | \$8,000 | \$8,000 | \$5,000 | 09/30/2009 | Case Terminated. |
| CSX 2009-53(SA) | 5 | \$17,500 | \$17,500 | \$11,500 | 09/30/2009 | |
| CSX 2009-54(SA) | 5 | \$22,500 | \$22,500 | \$14,500 | 09/30/2009 | |
| CSX 2009-57(ROP) | 1 | \$5,000 | \$5,000 | \$4,000 | 09/30/2009 | |
| CSX 2009-59(FCS) | 5 | \$17,500 | \$17,500 | \$11,700 | 09/30/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| FRA No. | No. of Violations | POCA | PRCA | Settlement Amount | Settlement Date | Comments |
|------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|-----------------|
| CSX 2009-6(SA) | 3 | \$15,000 | \$15,000 | \$9,700 | 09/30/2009 | |
| CSX 2009-60(FCS) | 2 | \$7,500 | \$7,500 | \$4,900 | 09/30/2009 | |
| CSX 2009-62(TS) | 2 | \$6,000 | \$6,000 | \$3,750 | 09/30/2009 | |
| CSX 2009-63(TS) | 1 | \$5,000 | \$5,000 | \$3,250 | 09/30/2009 | |
| CSX 2009-64(FCS) | 2 | \$5,000 | \$5,000 | \$3,300 | 09/30/2009 | |
| CSX 2009-7(TS) | 2 | \$5,000 | \$5,000 | \$3,200 | 09/30/2009 | |
| CSX 2009-77(AR) | 1 | \$2,500 | \$2,500 | \$550 | 09/30/2009 | |
| CSX 2009-78(TS) | 1 | \$5,000 | \$5,000 | \$3,250 | 09/30/2009 | |
| CSX 2009-79(TS) | 1 | \$5,000 | \$5,000 | \$3,300 | 09/30/2009 | |
| CSX 2009-80(HMT) | 1 | \$2,000 | \$2,000 | \$1,250 | 09/30/2009 | |
| CSX 2009-81(ROR) | 3 | \$7,500 | \$7,500 | \$4,300 | 09/30/2009 | |
| CSX 2009-82(SA) | 1 | \$5,000 | \$5,000 | \$3,150 | 09/30/2009 | |
| CSX 2009-84(GC) | 1 | \$2,500 | \$2,500 | \$1,700 | 09/30/2009 | |
| CSX 2009-86(SA) | 3 | \$10,000 | \$10,000 | \$6,300 | 09/30/2009 | |
| CSX 2009-88(HMT) | 8 | \$14,500 | \$14,500 | \$9,150 | 09/30/2009 | |
| CSX 2009-9(LI) | 8 | \$14,500 | \$14,500 | \$9,000 | 09/30/2009 | |
| CSX 2009-90(SI) | 3 | \$7,000 | \$7,000 | \$4,900 | 09/30/2009 | |
| CSX 2009-91(ROR) | 1 | \$9,500 | \$9,500 | \$6,300 | 09/30/2009 | |
| CSX 2009-93(SA) | 4 | \$12,500 | \$12,500 | \$8,250 | 09/30/2009 | |
| CSX 2009-95(TS) | 2 | \$10,000 | \$10,000 | \$6,525 | 09/30/2009 | |
| CSX 2009-97(HMT) | 3 | \$9,000 | \$9,000 | \$5,750 | 09/30/2009 | |
| CSX 2009-98(SA) | 1 | \$5,000 | \$5,000 | \$3,150 | 09/30/2009 | |
| CUOH 2005-1(LI) | 2 | \$4,000 | \$4,000 | \$2,000 | 02/05/2009 | |
| CUOH 2006-1(AR) | 2 | \$5,000 | \$5,000 | \$2,750 | 04/30/2009 | |
| CUOH 2008-1(LI) | 1 | \$2,500 | \$2,500 | \$1,375 | 04/30/2009 | |
| CUOH 2008-2(LI) | 2 | \$5,000 | \$5,000 | \$2,750 | 04/30/2009 | |
| DGNO 2007-4(HMT) | 1 | \$8,000 | \$8,000 | \$4,875 | 05/19/2009 | |
| DGNO 2008-1(SA) | 1 | \$5,000 | \$5,000 | \$2,500 | 07/02/2009 | |
| DGNO 2008-2(TS) | 6 | \$15,000 | \$15,000 | \$10,350 | 07/02/2009 | |
| DLWR 2006-1(SA) | 1 | \$5,000 | \$5,000 | \$1,000 | 01/27/2009 | |
| DME 2007-11(TS) | 1 | \$5,000 | \$5,000 | \$3,750 | 01/05/2009 | |
| DME 2007-12(HS) | 1 | \$2,000 | \$2,000 | \$1,500 | 01/05/2009 | |
| DME 2008-1(HSR) | 1 | \$1,000 | \$1,000 | \$750 | 01/05/2009 | |
| DME 2008-2(GC) | 1 | \$5,000 | \$5,000 | \$3,750 | 01/05/2009 | |
| DME 2008-3(GC) | 1 | \$5,000 | \$5,000 | \$3,750 | 01/05/2009 | |
| DME 2008-4(ROP) | 1 | \$5,000 | \$5,000 | \$3,750 | 01/05/2009 | |
| DME 2008-5(SA) | 1 | \$5,000 | \$5,000 | \$3,750 | 01/05/2009 | |
| DME 2008-6(GC) | 2 | \$10,000 | \$10,000 | \$7,500 | 01/05/2009 | |
| DME 2008-7(SA) | 2 | \$10,000 | \$10,000 | \$7,500 | 01/05/2009 | |
| DME 2008-8(TS) | 1 | \$5,000 | \$5,000 | \$3,750 | 08/27/2009 | |
| DME 2009-1(GC) | 1 | \$5,000 | \$5,000 | \$3,750 | 08/27/2009 | |
| DME 2009-10(SA) | 1 | \$2,500 | \$2,500 | \$1,875 | 08/27/2009 | |
| DME 2009-2(TS) | 2 | \$10,000 | \$10,000 | \$7,500 | 08/27/2009 | |
| DME 2009-3(LI) | 2 | \$5,000 | \$5,000 | \$3,750 | 08/27/2009 | |
| DME 2009-4(SA) | 1 | \$5,000 | \$5,000 | \$3,750 | 08/27/2009 | |
| DME 2009-5(HMT) | 1 | \$2,000 | \$2,000 | \$1,500 | 08/27/2009 | |
| DME 2009-6(GC) | 1 | \$5,000 | \$5,000 | \$3,750 | 08/27/2009 | |
| DME 2009-7(HMT) | 7 | \$17,500 | \$17,500 | \$13,125 | 08/27/2009 | |
| DME 2009-8(HMT) | 1 | \$2,000 | \$2,000 | \$1,500 | 08/27/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|------------------|
| DME 2009-9(TS) | 1 | \$5,000 | \$5,000 | \$3,750 | 08/27/2009 | |
| DMVW 2008-2(TS) | 1 | \$1,000 | \$1,000 | \$1,000 | 03/23/2009 | |
| DMVW 2009-1(RW) | 1 | \$3,000 | \$3,000 | \$3,000 | 05/05/2009 | |
| DSRC 2002-1(TS) | 1 | \$1,000 | \$1,000 | \$500 | 04/01/2009 | |
| DSRC 2005-1(AR) | 1 | \$2,500 | \$2,500 | \$2,100 | 04/01/2009 | |
| DSRC 2007-1(LI) | 1 | \$2,500 | \$2,500 | \$2,400 | 04/01/2009 | |
| EIRR 2006-1(GC) | 1 | \$2,500 | \$2,500 | \$1,700 | 09/11/2009 | |
| EIRR 2006-2(GC) | 2 | \$5,000 | \$5,000 | \$3,400 | 09/11/2009 | |
| EIRR 2006-3(GC) | 3 | \$7,500 | \$7,500 | \$5,450 | 09/11/2009 | |
| EIRR 2006-4(GC) | 6 | \$11,500 | \$11,500 | \$8,510 | 09/11/2009 | |
| EIRR 2007-1(ROR) | 1 | \$5,000 | \$5,000 | \$3,800 | 09/11/2009 | |
| EIRR 2007-2(HSR) | 1 | \$1,000 | \$1,000 | \$740 | 09/11/2009 | |
| EIRR 2007-3(GC) | 5 | \$6,500 | \$6,500 | \$4,870 | 09/11/2009 | |
| EIRR 2007-4(GC) | 4 | \$4,000 | \$4,000 | \$2,900 | 09/11/2009 | |
| EIRR 2007-6(HMT) | 1 | \$6,000 | \$6,000 | \$3,840 | 09/11/2009 | |
| EIRR 2007-7(GC) | 1 | \$2,500 | \$2,500 | \$1,900 | 09/11/2009 | |
| EJE 2008-4(EQ) | 1 | \$1,000 | \$0 | \$0 | 06/11/2009 | Case Terminated. |
| EJR 2008-1(HMT) | 1 | \$2,500 | \$2,500 | \$1,500 | 02/12/2009 | |
| EJR 2008-2(HMT) | 5 | \$9,000 | \$9,000 | \$5,000 | 05/19/2009 | |
| ELS 2008-1(LI) | 1 | \$4,500 | \$4,500 | \$4,500 | 10/14/2008 | |
| ELS 2008-2(SA) | 2 | \$10,000 | \$10,000 | \$1,100 | 02/27/2009 | |
| ERAIL 2008-1(SA) | 1 | \$5,000 | \$5,000 | \$5,000 | 04/20/2009 | |
| ERAIL 2008-2(TS) | 2 | \$6,000 | \$6,000 | \$6,000 | 03/10/2009 | |
| ERAIL 2008-3(TS) | 2 | \$3,500 | \$3,500 | \$3,500 | 03/10/2009 | |
| ERC 2007-1(SA) | 1 | \$5,000 | \$5,000 | \$4,000 | 01/22/2009 | |
| EVWR 2008-1(GC) | 1 | \$5,000 | \$5,000 | \$5,000 | 10/30/2008 | |
| EWG 2008-1(EQ) | 1 | \$2,500 | \$2,500 | \$1,600 | 01/22/2009 | |
| EWG 2008-2(HSR) | 1 | \$1,000 | \$1,000 | \$750 | 01/22/2009 | |
| EWG 2008-3(TS) | 3 | \$12,500 | \$12,500 | \$9,000 | 01/22/2009 | |
| FCRD 2008-2(FCS) | 1 | \$2,500 | \$2,500 | \$2,500 | 11/17/2008 | |
| FIR 2006-1(SA) | 1 | \$2,500 | \$2,500 | \$1,500 | 01/27/2009 | |
| FMRC 2007-1(SA) | 1 | \$5,000 | \$5,000 | \$4,000 | 01/27/2009 | |
| FWWR 2006-1(GC) | 1 | \$5,000 | \$5,000 | \$1,500 | 04/01/2009 | |
| FWWR 2007-1(SA) | 1 | \$5,000 | \$5,000 | \$4,500 | 04/01/2009 | |
| FWWR 2007-2(GC) | 1 | \$5,000 | \$5,000 | \$1,500 | 04/01/2009 | |
| FWWR 2007-3(GC) | 1 | \$5,000 | \$5,000 | \$1,500 | 04/01/2009 | |
| FWWR 2007-4(GC) | 2 | \$10,000 | \$10,000 | \$3,000 | 04/01/2009 | |
| FWWR 2007-5(SA) | 1 | \$5,000 | \$5,000 | \$3,500 | 04/01/2009 | |
| FWWR 2008-1(TS) | 2 | \$10,000 | \$10,000 | \$6,500 | 04/01/2009 | |
| FWWR 2008-2(SA) | 2 | \$7,500 | \$7,500 | \$4,250 | 04/01/2009 | |
| FWWR 2008-3(SA) | 1 | \$5,000 | \$5,000 | \$2,750 | 04/01/2009 | |
| GFRR 2007-1(TS) | 7 | \$14,500 | \$14,500 | \$8,990 | 01/30/2009 | |
| GFRR 2008-1(TS) | 1 | \$1,000 | \$1,000 | \$600 | 01/30/2009 | |
| GFRR 2008-2(LI) | 1 | \$1,500 | \$1,500 | \$1,500 | 01/08/2009 | |
| GFRR 2009-1(SA) | 1 | \$2,500 | \$2,500 | \$1,700 | 04/22/2009 | |
| GFRR 2009-2(LI) | 1 | \$1,000 | \$1,000 | \$700 | 04/22/2009 | |
| GLC 2007-1(HMT) | 1 | \$6,000 | \$6,000 | \$4,000 | 04/13/2009 | |
| GNRR 2003-1(LI) | 2 | \$5,000 | \$0 | \$0 | 06/13/2009 | Case Terminated. |
| GRNW 2004-1(SA) | 1 | \$2,500 | \$2,500 | \$1,700 | 09/11/2009 | |

**Federal Railroad Administration
Safety Cases Closed in FY 2009**

| FRA No. | No. of Violations | POCA | PRCA | Settlement Amount | Settlement Date | Comments |
|------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|------------------|
| GRNW 2007-1(SI) | 1 | \$1,000 | \$1,000 | \$735 | 09/11/2009 | |
| GRNW 2007-3(AR) | 3 | \$7,500 | \$7,500 | \$5,325 | 09/11/2009 | |
| GRNW 2007-4(HSR) | 1 | \$1,000 | \$1,000 | \$770 | 09/11/2009 | |
| GRNW 2008-1(GC) | 3 | \$3,000 | \$3,000 | \$2,280 | 09/11/2009 | |
| GSM 2002-1(ROP) | 1 | \$5,000 | \$0 | \$0 | 04/21/2009 | CASE TERMINATED. |
| GWR 2006-1(GC) | 5 | \$12,500 | \$12,500 | \$8,500 | 01/31/2009 | |
| GWR 2007-1(LI) | 1 | \$2,500 | \$2,500 | \$1,500 | 01/31/2009 | |
| GWR 2007-2(TS) | 2 | \$7,500 | \$7,500 | \$4,525 | 01/31/2009 | |
| GWR 2007-3(ROP) | 1 | \$5,000 | \$5,000 | \$3,100 | 01/31/2009 | |
| GWR 2007-4(GC) | 1 | \$5,000 | \$5,000 | \$3,400 | 01/31/2009 | |
| GWR 2008-1(LI) | 1 | \$1,000 | \$1,000 | \$620 | 01/31/2009 | |
| HESR 2007-1(AD) | 1 | \$5,000 | \$5,000 | \$2,900 | 09/11/2009 | |
| HESR 2007-2(TS) | 1 | \$2,500 | \$2,500 | \$1,650 | 03/09/2009 | |
| HESR 2007-3(AR) | 1 | \$2,500 | \$0 | \$0 | 08/17/2009 | Case Terminated. |
| HESR 2008-1(GC) | 1 | \$5,000 | \$5,000 | \$3,500 | 09/11/2009 | |
| HESR 2008-2(SA) | 1 | \$2,500 | \$2,500 | \$1,750 | 09/11/2009 | |
| HESR 2008-3(RSP) | 1 | \$2,500 | \$0 | \$0 | 05/30/2009 | Case Terminated. |
| HESR 2008-4(EQ) | 1 | \$2,000 | \$2,000 | \$1,200 | 09/11/2009 | |
| IAIS 2008-2(GC) | 2 | \$10,000 | \$10,000 | \$10,000 | 11/25/2008 | |
| IAIS 2008-3(HMT) | 5 | \$24,000 | \$24,000 | \$24,000 | 10/31/2008 | |
| IAIS 2009-2(SA) | 1 | \$5,000 | \$5,000 | \$5,000 | 06/12/2009 | |
| IC 2008-1(SA) | 1 | \$5,000 | \$5,000 | \$3,250 | 09/30/2009 | |
| ICE 2006-12(SI) | 1 | \$1,000 | \$1,000 | \$700 | 12/04/2008 | |
| ICE 2006-8(SA) | 2 | \$5,000 | \$5,000 | \$3,600 | 12/04/2008 | |
| ICE 2007-1(HMT) | 2 | \$10,000 | \$10,000 | \$6,500 | 12/04/2008 | |
| ICE 2007-10(SA) | 1 | \$5,000 | \$5,000 | \$3,750 | 12/04/2008 | |
| ICE 2007-11(TS) | 1 | \$2,500 | \$2,500 | \$1,750 | 12/04/2008 | |
| ICE 2007-12(AD) | 2 | \$10,000 | \$10,000 | \$5,000 | 12/04/2008 | |
| ICE 2007-2(LI) | 1 | \$1,500 | \$1,500 | \$1,200 | 12/04/2008 | |
| ICE 2007-3(SA) | 1 | \$2,500 | \$2,500 | \$2,000 | 12/04/2008 | |
| ICE 2007-4(TS) | 2 | \$10,000 | \$10,000 | \$7,300 | 12/04/2008 | |
| ICE 2007-5(TS) | 1 | \$5,000 | \$5,000 | \$4,000 | 12/04/2008 | |
| ICE 2007-6(SA) | 1 | \$5,000 | \$5,000 | \$3,350 | 12/04/2008 | |
| ICE 2007-7(HMT) | 1 | \$4,000 | \$4,000 | \$2,800 | 12/04/2008 | |
| ICE 2007-8(GC) | 1 | \$5,000 | \$5,000 | \$4,000 | 12/04/2008 | |
| ICE 2007-9(RW) | 1 | \$1,000 | \$1,000 | \$800 | 12/04/2008 | |
| ICE 2008-1(GC) | 1 | \$5,000 | \$5,000 | \$4,000 | 12/04/2008 | |
| ICE 2008-2(SA) | 1 | \$2,500 | \$2,500 | \$1,600 | 12/04/2008 | |
| ICE 2008-3(SA) | 1 | \$2,500 | \$2,500 | \$1,600 | 12/04/2008 | |
| ICE 2008-4(SA) | 1 | \$5,000 | \$5,000 | \$3,250 | 12/04/2008 | |
| IMRR 2008-1(TS) | 2 | \$10,000 | \$10,000 | \$10,000 | 12/01/2008 | |
| IMRR 2009-1(HS) | 5 | \$5,000 | \$5,000 | \$3,500 | 07/09/2009 | |
| IMRR 2009-2(HS) | 4 | \$4,000 | \$4,000 | \$2,800 | 07/09/2009 | |
| IMRR 2009-3(HSR) | 1 | \$1,000 | \$1,000 | \$700 | 07/09/2009 | |
| IN 2005-1(TS) | 1 | \$1,000 | \$1,000 | \$550 | 11/13/2008 | |
| INPR 2005-1(TS) | 1 | \$1,000 | \$1,000 | \$600 | 01/08/2009 | |
| INPR 2008-1(RW) | 2 | \$6,000 | \$6,000 | \$3,600 | 01/08/2009 | |
| INPR 2008-2(TS) | 1 | \$2,500 | \$2,500 | \$1,500 | 01/08/2009 | |
| INRD 2008-7(AR) | 2 | \$5,000 | \$5,000 | \$3,250 | 10/15/2008 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|----------------------------|
| IOCR 2005-1(HMT) | 1 | \$5,000 | \$5,000 | \$2,600 | 09/11/2009 | |
| IOCR 2005-2(LI) | 2 | \$3,500 | \$3,500 | \$2,275 | 07/02/2009 | |
| IOCR 2007-1(GC) | 1 | \$2,500 | \$2,500 | \$1,500 | 05/08/2009 | |
| IOCR 2006-7(EQ) | 1 | \$1,000 | \$1,000 | \$760 | 09/11/2009 | |
| IOCR 2007-1(LI) | 1 | \$2,500 | \$2,500 | \$1,700 | 01/22/2009 | |
| IOCR 2007-10(AR) | 4 | \$10,000 | \$10,000 | \$6,000 | 05/08/2009 | |
| IOCR 2007-11(SI) | 1 | \$5,000 | \$5,000 | \$3,000 | 01/22/2009 | |
| IOCR 2007-12(GC) | 1 | \$2,500 | \$2,500 | \$1,500 | 01/22/2009 | |
| IOCR 2007-13(AR) | 1 | \$2,500 | \$2,500 | \$1,500 | 05/08/2009 | |
| IOCR 2007-2(LI) | 1 | \$2,500 | \$2,500 | \$1,300 | 01/22/2009 | |
| IOCR 2007-3(GC) | 1 | \$2,500 | \$2,500 | \$1,300 | 03/09/2009 | |
| IOCR 2007-4(GC) | 4 | \$10,000 | \$10,000 | \$6,000 | 01/22/2009 | |
| IOCR 2007-5(GC) | 1 | \$2,500 | \$2,500 | \$1,500 | 01/22/2009 | |
| IOCR 2007-6(TS) | 1 | \$2,500 | \$2,500 | \$1,500 | 01/22/2009 | |
| IOCR 2007-7(EO) | 1 | \$5,000 | \$5,000 | \$3,000 | 01/22/2009 | |
| IOCR 2007-8(GC) | 2 | \$3,500 | \$3,500 | \$2,200 | 01/22/2009 | |
| IOCR 2007-9(AR) | 3 | \$7,500 | \$7,500 | \$5,000 | 01/22/2009 | |
| IOCR 2008-1(SA) | 1 | \$5,000 | \$5,000 | \$3,000 | 09/11/2009 | |
| IOCR 2008-10(SA) | 1 | \$5,000 | \$5,000 | \$3,000 | 09/11/2009 | |
| IOCR 2008-11(RW) | 1 | \$1,000 | \$1,000 | \$680 | 05/08/2009 | |
| IOCR 2008-2(SI) | 1 | \$5,000 | \$5,000 | \$3,500 | 05/08/2009 | |
| IOCR 2008-3(GC) | 1 | \$2,500 | \$2,500 | \$1,875 | 05/08/2009 | |
| IOCR 2008-4(TS) | 1 | \$2,500 | \$2,500 | \$1,625 | 09/11/2009 | |
| IOCR 2008-5(LI) | 4 | \$10,000 | \$10,000 | \$6,000 | 05/08/2009 | |
| IOCR 2008-6(TS) | 8 | \$20,000 | \$20,000 | \$12,200 | 09/11/2009 | |
| IOCR 2008-7(AR) | 2 | \$5,000 | \$5,000 | \$2,500 | 05/08/2009 | Terminated Violation(s): 1 |
| IOCR 2008-8(HMT) | 2 | \$9,500 | \$9,500 | \$5,700 | 09/11/2009 | |
| IOCR 2008-9(SI) | 3 | \$6,000 | \$6,000 | \$6,000 | 11/21/2008 | |
| IR 2005-1(AR) | 1 | \$1,000 | \$1,000 | \$1,000 | 02/19/2009 | |
| IR 2007-1(LI) | 1 | \$2,500 | \$2,500 | \$1,375 | 01/26/2009 | |
| IR 2008-1(TS) | 1 | \$2,500 | \$2,500 | \$2,500 | 04/07/2009 | |
| IRLX 2005-1(LI) | 5 | \$12,500 | \$0 | \$0 | 01/22/2009 | CASE TERMINATED. |
| IRLX 2005-2(LI) | 1 | \$2,500 | \$0 | \$0 | 11/12/2008 | Terminated Violation(s): 1 |
| ISRR 2006-1(LI) | 1 | \$2,500 | \$2,500 | \$1,500 | 04/15/2009 | |
| ISW 2007-1(GC) | 2 | \$10,000 | \$10,000 | \$6,000 | 12/04/2008 | |
| ITMZ 2006-1(HS) | 2 | \$2,000 | \$1,000 | \$550 | 11/13/2008 | Terminated Violation(s): 1 |
| KAW 2007-1(GC) | 1 | \$1,000 | \$1,000 | \$765 | 09/11/2009 | |
| KBSR 2008-1(LI) | 1 | \$2,500 | \$2,500 | \$1,520 | 12/02/2008 | |
| KCS 2007-21(TS) | 12 | \$30,000 | \$30,000 | \$18,000 | 09/25/2009 | |
| KCS 2007-28(TS) | 1 | \$5,000 | \$5,000 | \$3,500 | 09/25/2009 | |
| KCS 2007-40(GC) | 2 | \$10,000 | \$10,000 | \$6,500 | 09/25/2009 | |
| KCS 2007-42(TS) | 2 | \$7,500 | \$7,500 | \$5,600 | 09/25/2009 | |
| KCS 2007-45(TS) | 25 | \$67,500 | \$67,500 | \$43,000 | 09/25/2009 | |
| KCS 2007-46(SA) | 2 | \$7,500 | \$7,500 | \$5,000 | 09/25/2009 | |
| KCS 2007-53(TS) | 2 | \$5,000 | \$0 | \$0 | 09/25/2009 | Case Terminated. |
| KCS 2007-56(LI) | 11 | \$17,000 | \$17,000 | \$10,000 | 09/25/2009 | |
| KCS 2007-59(TS) | 35 | \$35,000 | \$35,000 | \$23,000 | 09/25/2009 | |
| KCS 2007-63(HMT) | 13 | \$59,000 | \$59,000 | \$36,000 | 09/25/2009 | |
| KCS 2007-65(TS) | 2 | \$5,000 | \$5,000 | \$3,500 | 09/25/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| FRA No. | No. of Violations | POCA | PRCA | Settlement Amount | Settlement Date | Comments |
|------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|-----------------|
| KCS 2007-66(AD) | 5 | \$11,000 | \$11,000 | \$7,800 | 09/25/2009 | |
| KCS 2007-67(LI) | 3 | \$7,500 | \$7,500 | \$5,000 | 09/25/2009 | |
| KCS 2007-68(SI) | 1 | \$5,000 | \$5,000 | \$3,200 | 09/25/2009 | |
| KCS 2007-9(FCS) | 2 | \$5,000 | \$5,000 | \$2,750 | 09/25/2009 | |
| KCS 2008-1(HMT) | 3 | \$11,000 | \$11,000 | \$7,000 | 09/25/2009 | |
| KCS 2008-10(GC) | 1 | \$5,000 | \$5,000 | \$3,200 | 09/25/2009 | |
| KCS 2008-11(FCS) | 4 | \$10,000 | \$10,000 | \$6,500 | 09/25/2009 | |
| KCS 2008-12(TS) | 1 | \$2,500 | \$2,500 | \$1,750 | 09/25/2009 | |
| KCS 2008-13(TS) | 1 | \$5,000 | \$5,000 | \$3,500 | 09/25/2009 | |
| KCS 2008-14(LI) | 1 | \$2,500 | \$2,500 | \$1,600 | 09/25/2009 | |
| KCS 2008-15(SA) | 2 | \$7,500 | \$7,500 | \$4,500 | 09/25/2009 | |
| KCS 2008-16(SA) | 2 | \$10,000 | \$10,000 | \$6,000 | 09/25/2009 | |
| KCS 2008-17(LI) | 1 | \$2,500 | \$2,500 | \$1,600 | 09/25/2009 | |
| KCS 2008-18(SA) | 3 | \$12,500 | \$12,500 | \$8,000 | 09/25/2009 | |
| KCS 2008-19(FCS) | 2 | \$5,000 | \$5,000 | \$3,000 | 09/25/2009 | |
| KCS 2008-2(AD) | 3 | \$15,000 | \$15,000 | \$9,000 | 09/25/2009 | |
| KCS 2008-20(SA) | 3 | \$12,500 | \$12,500 | \$8,500 | 09/25/2009 | |
| KCS 2008-21(TS) | 2 | \$10,000 | \$10,000 | \$7,000 | 09/25/2009 | |
| KCS 2008-22(TS) | 1 | \$5,000 | \$5,000 | \$3,750 | 09/25/2009 | |
| KCS 2008-23(GS) | 1 | \$2,500 | \$2,500 | \$1,500 | 09/25/2009 | |
| KCS 2008-24(LI) | 3 | \$4,500 | \$4,500 | \$2,475 | 09/25/2009 | |
| KCS 2008-25(FCS) | 1 | \$2,500 | \$2,500 | \$1,600 | 09/25/2009 | |
| KCS 2008-26(TS) | 1 | \$2,500 | \$2,500 | \$1,750 | 09/25/2009 | |
| KCS 2008-27(SA) | 1 | \$5,000 | \$5,000 | \$3,300 | 09/25/2009 | |
| KCS 2008-29(LI) | 2 | \$5,000 | \$5,000 | \$3,200 | 09/25/2009 | |
| KCS 2008-3(LI) | 2 | \$5,000 | \$5,000 | \$3,000 | 09/25/2009 | |
| KCS 2008-30(TS) | 1 | \$2,500 | \$2,500 | \$2,000 | 09/25/2009 | |
| KCS 2008-31(HS) | 2 | \$2,000 | \$2,000 | \$1,500 | 09/25/2009 | |
| KCS 2008-32(SA) | 3 | \$12,500 | \$12,500 | \$8,500 | 09/25/2009 | |
| KCS 2008-33(LI) | 2 | \$4,500 | \$4,500 | \$3,000 | 09/25/2009 | |
| KCS 2008-34(RW) | 1 | \$1,000 | \$1,000 | \$750 | 09/25/2009 | |
| KCS 2008-35(TS) | 2 | \$7,500 | \$7,500 | \$5,600 | 09/25/2009 | |
| KCS 2008-36(HMT) | 2 | \$5,000 | \$5,000 | \$3,000 | 09/25/2009 | |
| KCS 2008-37(RW) | 1 | \$1,000 | \$1,000 | \$750 | 09/25/2009 | |
| KCS 2008-38(TS) | 2 | \$7,500 | \$7,500 | \$5,600 | 09/25/2009 | |
| KCS 2008-39(SA) | 1 | \$5,000 | \$5,000 | \$3,000 | 09/25/2009 | |
| KCS 2008-4(EQ) | 1 | \$4,000 | \$4,000 | \$3,000 | 09/25/2009 | |
| KCS 2008-40(GC) | 1 | \$5,000 | \$5,000 | \$3,200 | 09/25/2009 | |
| KCS 2008-41(GC) | 1 | \$2,500 | \$2,500 | \$1,600 | 09/25/2009 | |
| KCS 2008-42(SA) | 1 | \$2,500 | \$2,500 | \$1,750 | 09/25/2009 | |
| KCS 2008-43(TS) | 3 | \$15,000 | \$15,000 | \$10,000 | 09/25/2009 | |
| KCS 2008-44(HSR) | 4 | \$4,000 | \$4,000 | \$2,300 | 09/25/2009 | |
| KCS 2008-45(LI) | 3 | \$6,500 | \$6,500 | \$4,000 | 09/25/2009 | |
| KCS 2008-46(SA) | 2 | \$15,000 | \$15,000 | \$9,500 | 09/25/2009 | |
| KCS 2008-47(TS) | 13 | \$35,000 | \$35,000 | \$22,000 | 09/25/2009 | |
| KCS 2008-48(SA) | 1 | \$5,000 | \$5,000 | \$3,200 | 09/25/2009 | |
| KCS 2008-49(HS) | 1 | \$1,000 | \$1,000 | \$750 | 09/25/2009 | |
| KCS 2008-5(LI) | 2 | \$5,000 | \$5,000 | \$3,200 | 09/25/2009 | |
| KCS 2008-50(RW) | 1 | \$2,000 | \$2,000 | \$1,200 | 09/25/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|--|
| KCS 2008-51(TS) | 2 | \$3,500 | \$3,500 | \$2,650 | 09/25/2009 | |
| KCS 2008-52(FCS) | 2 | \$5,000 | \$5,000 | \$3,000 | 09/25/2009 | |
| KCS 2008-53(ROP) | 1 | \$5,000 | \$5,000 | \$3,500 | 09/25/2009 | |
| KCS 2008-54(SA) | 1 | \$2,500 | \$2,500 | \$1,650 | 09/25/2009 | |
| KCS 2008-55(AR) | 1 | \$2,500 | \$0 | \$0 | 09/25/2009 | Case Terminated |
| KCS 2008-57(HSR) | 1 | \$1,000 | \$1,000 | \$660 | 09/25/2009 | |
| KCS 2008-58(TS) | 2 | \$2,000 | \$2,000 | \$1,500 | 09/25/2009 | |
| KCS 2008-59(SA) | 4 | \$20,000 | \$20,000 | \$12,000 | 09/25/2009 | |
| KCS 2008-6(TS) | 1 | \$2,500 | \$2,500 | \$1,750 | 09/25/2009 | |
| KCS 2008-60(AR) | 1 | \$2,500 | \$0 | \$0 | 09/25/2009 | Case Terminated. |
| KCS 2008-61(TS) | 1 | \$2,500 | \$2,500 | \$1,750 | 09/25/2009 | |
| KCS 2008-62(TS) | 39 | \$97,500 | \$97,500 | \$64,000 | 09/25/2009 | |
| KCS 2008-63(TS) | 1 | \$1,000 | \$1,000 | \$800 | 09/25/2009 | |
| KCS 2008-64(HS) | 2 | \$2,000 | \$2,000 | \$1,500 | 09/25/2009 | |
| KCS 2008-7(SA) | 1 | \$5,000 | \$5,000 | \$3,200 | 09/25/2009 | |
| KCS 2008-8(SA) | 2 | \$7,500 | \$7,500 | \$4,500 | 09/25/2009 | |
| KCS 2009-1(SA) | 3 | \$12,500 | \$12,500 | \$8,000 | 09/25/2009 | |
| KCS 2009-10(SI) | 1 | \$1,000 | \$1,000 | \$700 | 09/25/2009 | |
| KCS 2009-12(SA) | 2 | \$7,500 | \$2,500 | \$1,750 | 09/25/2009 | Terminated Violation(s)#: 1 |
| KCS 2009-13(GC) | 1 | \$5,000 | \$5,000 | \$3,000 | 09/25/2009 | |
| KCS 2009-14(SI) | 1 | \$2,500 | \$2,500 | \$1,750 | 09/25/2009 | |
| KCS 2009-2(TS) | 1 | \$2,500 | \$2,500 | \$1,900 | 09/25/2009 | |
| KCS 2009-3(LI) | 1 | \$1,500 | \$1,500 | \$1,050 | 09/25/2009 | |
| KCS 2009-4(TS) | 1 | \$2,500 | \$2,500 | \$1,900 | 09/25/2009 | |
| KCS 2009-5(HMT) | 1 | \$2,000 | \$2,000 | \$1,200 | 09/25/2009 | |
| KCS 2009-6(HMT) | 1 | \$6,000 | \$2,000 | \$1,500 | 09/25/2009 | Partially Terminated Violation(s)#: 1 |
| KCS 2009-7(SA) | 1 | \$1,000 | \$1,000 | \$650 | 09/25/2009 | |
| KCS 2009-8(SA) | 2 | \$5,000 | \$5,000 | \$3,000 | 09/25/2009 | |
| KCS 2009-9(GC) | 1 | \$2,500 | \$2,500 | \$1,400 | 09/25/2009 | |
| KCT 2008-1(GC) | 2 | \$10,000 | \$10,000 | \$7,800 | 03/12/2009 | |
| KFR 2006-1(LI) | 1 | \$2,500 | \$2,500 | \$2,500 | 12/09/2008 | |
| KFR 2008-1(AR) | 1 | \$2,500 | \$2,500 | \$2,500 | 01/02/2009 | |
| KO 2006-10(SI) | 1 | \$5,000 | \$5,000 | \$3,750 | 09/11/2009 | |
| KO 2006-11(GC) | 3 | \$12,500 | \$10,000 | \$7,900 | 09/11/2009 | Terminated Violation(s)#: 1 |
| KO 2006-13(GC) | 1 | \$5,000 | \$5,000 | \$3,250 | 09/11/2009 | |
| KO 2006-9(SA) | 1 | \$5,000 | \$5,000 | \$3,700 | 09/11/2009 | |
| KO 2007-1(GC) | 2 | \$10,000 | \$0 | \$0 | 09/11/2009 | Case Terminated |
| KO 2007-2(GC) | 1 | \$5,000 | \$5,000 | \$3,750 | 09/11/2009 | |
| KO 2007-3(GC) | 1 | \$2,500 | \$2,500 | \$1,700 | 09/11/2009 | |
| KO 2007-4(LI) | 3 | \$7,500 | \$7,500 | \$4,925 | 09/11/2009 | |
| KO 2007-5(GC) | 1 | \$5,000 | \$5,000 | \$3,900 | 09/11/2009 | |
| KO 2007-6(GC) | 1 | \$1,000 | \$0 | \$0 | 09/11/2009 | Case Terminated. |
| KO 2007-7(GC) | 2 | \$5,000 | \$5,000 | \$3,850 | 09/11/2009 | |
| KO 2007-8(EP) | 1 | \$1,000 | \$1,000 | \$760 | 09/11/2009 | |
| KO 2007-9(GC) | 1 | \$5,000 | \$5,000 | \$3,775 | 09/11/2009 | |
| KO 2008-1(LI) | 1 | \$2,500 | \$2,500 | \$1,925 | 09/11/2009 | |
| KO 2008-2(GC) | 11 | \$43,500 | \$10,000 | \$7,550 | 09/11/2009 | Terminated Violation(s)#: 1,2,4 |
| KO 2008-4(GC) | 1 | \$2,500 | \$2,500 | \$1,900 | 09/11/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| FRA No. | No. of Violations | POCA | PRCA | Settlement Amount | Settlement Date | Comments |
|------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|--|
| KO 2008-5(AR) | 1 | \$2,500 | \$0 | \$0 | 09/11/2009 | Case Terminated. |
| KRR 2007-1(TS) | 1 | \$5,000 | \$5,000 | \$2,600 | 05/19/2009 | |
| KRR 2008-1(SA) | 1 | \$2,500 | \$2,500 | \$2,000 | 05/19/2009 | |
| KYLE 2005-1(ROP) | 1 | \$5,000 | \$5,000 | \$3,000 | 07/02/2009 | |
| LSRC 2008-1(TS) | 1 | \$2,500 | \$2,500 | \$2,500 | 10/27/2008 | |
| MBAX 2007-2(SI) | 1 | \$5,000 | \$5,000 | \$2,900 | 12/08/2008 | |
| MBAX 2007-4(TS) | 1 | \$1,000 | \$1,000 | \$600 | 12/08/2008 | |
| MBAX 2008-11(RW) | 1 | \$10,000 | \$10,000 | \$7,500 | 05/15/2009 | |
| MBAX 2008-12(RW) | 1 | \$2,500 | \$2,500 | \$1,500 | 05/15/2009 | |
| MBAX 2008-13(RW) | 1 | \$1,000 | \$1,000 | \$550 | 05/15/2009 | |
| MBAX 2008-14(RW) | 1 | \$3,000 | \$3,000 | \$1,700 | 05/15/2009 | Terminated Violation(s)#: 2 |
| MBAX 2008-4(RW) | 2 | \$5,000 | \$2,500 | \$1,500 | 05/15/2009 | |
| MBAX 2008-9(RW) | 1 | \$1,000 | \$1,000 | \$550 | 05/15/2009 | |
| MBAX 2009-1(RW) | 1 | \$2,000 | \$2,000 | \$1,100 | 05/15/2009 | |
| MBRR 2007-2(SA) | 1 | \$5,000 | \$5,000 | \$3,000 | 01/28/2009 | CASE TERMINATED. |
| MCER 2009-1(SA) | 1 | \$5,000 | \$5,000 | \$2,800 | 06/09/2009 | |
| MMA 2008-2(AD) | 1 | \$2,000 | \$0 | \$0 | 03/16/2009 | |
| MMA 2009-1(EQ) | 1 | \$2,500 | \$2,500 | \$2,000 | 08/28/2009 | |
| MMA 2009-2(SA) | 1 | \$2,500 | \$2,500 | \$1,250 | 06/04/2009 | |
| MMRR 2007-1(AR) | 1 | \$2,500 | \$2,500 | \$1,750 | 07/02/2009 | |
| MNA 2007-1(TS) | 1 | \$1,000 | \$1,000 | \$620 | 07/01/2009 | |
| MNA 2007-10(AD) | 1 | \$10,000 | \$10,000 | \$5,300 | 03/09/2009 | |
| MNA 2007-11(AD) | 1 | \$2,500 | \$2,500 | \$1,675 | 03/09/2009 | |
| MNA 2007-12(LI) | 3 | \$6,000 | \$6,000 | \$4,300 | 07/01/2009 | |
| MNA 2007-2(LI) | 1 | \$11,000 | \$11,000 | \$6,600 | 03/09/2009 | CASE TERMINATED. |
| MNA 2007-3(TS) | 1 | \$1,000 | \$1,000 | \$650 | 03/09/2009 | |
| MNA 2007-4(AD) | 1 | \$5,000 | \$0 | \$0 | 01/16/2009 | |
| MNA 2007-5(GC) | 1 | \$5,000 | \$5,000 | \$2,750 | 03/09/2009 | |
| MNA 2007-6(AD) | 2 | \$5,000 | \$2,500 | \$750 | 03/09/2009 | Terminated Violation(s)#: 1 |
| MNA 2007-8(AD) | 2 | \$7,500 | \$7,500 | \$4,250 | 03/09/2009 | |
| MNA 2007-9(SA) | 1 | \$5,000 | \$5,000 | \$2,750 | 03/09/2009 | |
| MNA 2008-1(GC) | 1 | \$1,000 | \$1,000 | \$670 | 07/01/2009 | |
| MNA 2008-10(SA) | 2 | \$7,500 | \$7,500 | \$4,500 | 07/01/2009 | Terminated Violation(s)#: 1, Partially Terminated Violation(s)#: 2 |
| MNA 2008-2(GC) | 3 | \$7,500 | \$7,500 | \$5,400 | 07/01/2009 | |
| MNA 2008-3(GC) | 3 | \$4,500 | \$4,500 | \$3,000 | 07/01/2009 | |
| MNA 2008-4(GC) | 2 | \$10,000 | \$10,000 | \$6,700 | 09/11/2009 | |
| MNA 2008-5(GC) | 3 | \$15,000 | \$15,000 | \$12,500 | 07/01/2009 | |
| MNA 2008-6(GS) | 1 | \$2,500 | \$2,500 | \$1,500 | 07/01/2009 | |
| MNA 2008-7(SA) | 1 | \$1,000 | \$1,000 | \$610 | 07/01/2009 | |
| MNA 2008-8(GC) | 17 | \$31,500 | \$19,000 | \$13,700 | 07/01/2009 | |
| MNBR 2007-1(SA) | 1 | \$5,000 | \$5,000 | \$3,000 | 01/28/2009 | |
| MNBR 2007-2(RW) | 1 | \$3,000 | \$3,000 | \$2,000 | 01/28/2009 | |
| MNCW 2009-1(AR) | 2 | \$5,000 | \$5,000 | \$5,000 | 04/22/2009 | Terminated Violation(s)#: 4 |
| MNCW 2009-2(SI) | 1 | \$1,000 | \$1,000 | \$1,000 | 06/25/2009 | |
| MNNR 2007-1(SA) | 1 | \$5,000 | \$5,000 | \$2,700 | 01/14/2009 | |
| MRL 2008-1(SA) | 2 | \$5,000 | \$5,000 | \$3,000 | 05/14/2009 | |
| MRL 2008-10(AR) | 4 | \$10,000 | \$7,500 | \$4,250 | 05/14/2009 | |
| MRL 2008-11(TS) | 2 | \$7,500 | \$7,500 | \$4,600 | 05/14/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| FRA No. | No. of Violations | POCA | PRCA | Settlement Amount | Settlement Date | Comments |
|------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|-----------------------------|
| MRL 2008-12(RSP) | 1 | \$5,000 | \$5,000 | \$2,750 | 05/14/2009 | |
| MRL 2008-13(SA) | 1 | \$2,500 | \$2,500 | \$1,700 | 05/14/2009 | |
| MRL 2008-14(GC) | 1 | \$5,000 | \$5,000 | \$2,500 | 05/14/2009 | |
| MRL 2008-15(AD) | 1 | \$2,500 | \$2,500 | \$1,300 | 05/14/2009 | |
| MRL 2008-16(RSP) | 1 | \$5,000 | \$5,000 | \$2,750 | 05/14/2009 | |
| MRL 2008-17(HMT) | 1 | \$5,000 | \$5,000 | \$2,600 | 05/14/2009 | |
| MRL 2008-18(LI) | 1 | \$2,500 | \$2,500 | \$1,300 | 05/14/2009 | |
| MRL 2008-19(RSP) | 4 | \$4,000 | \$4,000 | \$2,600 | 05/14/2009 | |
| MRL 2008-2(SA) | 2 | \$7,500 | \$7,500 | \$4,250 | 05/14/2009 | |
| MRL 2008-20(ROR) | 5 | \$25,000 | \$25,000 | \$8,750 | 05/14/2009 | |
| MRL 2008-21(AD) | 3 | \$12,500 | \$12,500 | \$7,000 | 05/14/2009 | |
| MRL 2008-22(RSP) | 2 | \$10,000 | \$10,000 | \$5,500 | 05/14/2009 | |
| MRL 2008-23(RSP) | 1 | \$5,000 | \$5,000 | \$2,750 | 05/14/2009 | |
| MRL 2008-24(HMT) | 4 | \$12,500 | \$12,500 | \$6,750 | 05/14/2009 | |
| MRL 2008-3(ROR) | 1 | \$5,000 | \$5,000 | \$2,500 | 05/14/2009 | |
| MRL 2008-4(ROR) | 1 | \$5,000 | \$5,000 | \$1,750 | 05/14/2009 | |
| MRL 2008-5(SA) | 1 | \$5,000 | \$5,000 | \$2,750 | 05/14/2009 | |
| MRL 2008-6(RW) | 1 | \$1,000 | \$1,000 | \$600 | 05/14/2009 | |
| MRL 2008-7(AD) | 1 | \$7,500 | \$7,500 | \$4,200 | 05/14/2009 | |
| MRL 2008-9(AD) | 2 | \$7,500 | \$7,500 | \$1,300 | 05/14/2009 | Terminated Violation(s)#: 1 |
| MRL 2009-1(SA) | 1 | \$5,000 | \$5,000 | \$2,800 | 05/14/2009 | |
| MRL 2009-10(TS) | 1 | \$2,500 | \$2,500 | \$1,500 | 05/14/2009 | |
| MRL 2009-2(RSP) | 1 | \$1,000 | \$1,000 | \$650 | 05/14/2009 | |
| MRL 2009-3(ROR) | 5 | \$43,500 | \$34,000 | \$12,000 | 05/14/2009 | Terminated Violation(s)#: 1 |
| MRL 2009-4(HMT) | 1 | \$7,500 | \$7,500 | \$4,500 | 05/14/2009 | |
| MRL 2009-6(RSP) | 1 | \$5,000 | \$5,000 | \$2,750 | 05/14/2009 | |
| MRL 2009-8(HSR) | 1 | \$1,000 | \$1,000 | \$550 | 05/14/2009 | |
| MRL 2009-9(ROP) | 1 | \$7,500 | \$7,500 | \$4,200 | 05/14/2009 | |
| MSTR 2007-1(HMT) | 1 | \$2,500 | \$2,500 | \$1,450 | 04/20/2009 | |
| NCRC 2008-2(GC) | 1 | \$2,500 | \$2,500 | \$2,500 | 10/15/2008 | |
| NECR 2007-1(AD) | 3 | \$7,500 | \$7,500 | \$4,500 | 09/15/2009 | |
| NECR 2007-2(TS) | 1 | \$5,000 | \$5,000 | \$3,000 | 01/29/2009 | |
| NECR 2007-3(TS) | 2 | \$10,000 | \$10,000 | \$6,500 | 09/15/2009 | |
| NIRC 2007-1(SI) | 1 | \$5,000 | \$5,000 | \$3,500 | 06/04/2009 | |
| NIRC 2007-3(RW) | 1 | \$3,000 | \$3,000 | \$3,000 | 06/04/2009 | |
| NIRC 2008-1(RW) | 1 | \$5,000 | \$5,000 | \$5,000 | 06/04/2009 | |
| NIRC 2008-2(EQ) | 14 | \$14,000 | \$14,000 | \$7,000 | 06/04/2009 | |
| NIRC 2008-4(RW) | 1 | \$3,000 | \$3,000 | \$3,000 | 06/04/2009 | |
| NIRC 2008-5(PEQ) | 3 | \$15,000 | \$15,000 | \$10,000 | 06/04/2009 | |
| NIRC 2008-6(BW) | 1 | \$2,000 | \$2,000 | \$2,000 | 06/04/2009 | |
| NIRC 2008-7(AR) | 1 | \$2,500 | \$2,500 | \$1,500 | 06/04/2009 | |
| NIRC 2009-1(RW) | 1 | \$5,000 | \$5,000 | \$5,000 | 06/04/2009 | |
| NIRC 2009-2(LI) | 1 | \$2,500 | \$2,500 | \$1,500 | 06/04/2009 | |
| NIRC 2009-3(GC) | 2 | \$7,500 | \$7,500 | \$6,000 | 06/04/2009 | |
| NVRR 2008-1(GC) | 1 | \$2,500 | \$2,500 | \$2,500 | 10/22/2008 | |
| NVWT 2008-1(GC) | 1 | \$2,500 | \$2,500 | \$2,500 | 10/24/2008 | |
| OHCR 2005-1(SA) | 1 | \$5,000 | \$5,000 | \$2,500 | 02/05/2009 | |
| OHCR 2006-1(LI) | 1 | \$2,500 | \$2,500 | \$1,500 | 02/05/2009 | |
| OHCR 2007-1(SA) | 2 | \$10,000 | \$10,000 | \$5,500 | 04/30/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|------------------|
| OHCR 2008-1(SA) | 2 | \$5,000 | \$5,000 | \$2,750 | 04/30/2009 | |
| OHCR 2008-2(SA) | 1 | \$5,000 | \$5,000 | \$2,750 | 04/30/2009 | |
| OHCR 2008-3(FCS) | 1 | \$5,000 | \$5,000 | \$2,750 | 04/30/2009 | |
| OHCR 2008-4(FCS) | 1 | \$2,500 | \$2,500 | \$1,375 | 04/30/2009 | |
| PAL 2006-7(HSR) | 9 | \$9,000 | \$9,000 | \$7,020 | 11/24/2008 | |
| PAL 2007-3(AR) | 1 | \$2,500 | \$2,500 | \$1,700 | 11/24/2008 | |
| PAL 2007-4(ROR) | 1 | \$2,500 | \$2,500 | \$2,500 | 10/21/2008 | |
| PATH 2002-1(PEQ) | 1 | \$2,500 | \$0 | \$0 | 01/22/2009 | Case Terminated. |
| PATH 2008-1(ROR) | 1 | \$2,500 | \$2,500 | \$2,050 | 01/22/2009 | |
| PCC 2007-1(AR) | 1 | \$2,500 | \$2,500 | \$1,850 | 09/11/2009 | |
| PCC 2007-2(GC) | 1 | \$2,500 | \$2,500 | \$1,925 | 09/11/2009 | |
| PCC 2008-2(SA) | 2 | \$5,000 | \$5,000 | \$3,400 | 09/11/2009 | |
| PGR 2008-1(HMT) | 2 | \$7,500 | \$7,500 | \$5,050 | 10/23/2008 | |
| PGR 2008-2(LI) | 1 | \$2,500 | \$2,500 | \$1,600 | 10/23/2008 | |
| PHL 2006-1(AR) | 1 | \$2,500 | \$2,500 | \$1,800 | 10/31/2008 | |
| PHL 2007-1(SA) | 1 | \$5,000 | \$5,000 | \$3,700 | 10/31/2008 | |
| PNR 2004-1(HMT) | 1 | \$2,000 | \$0 | \$0 | 12/15/2008 | CASE TERMINATED. |
| PNR 2004-2(LI) | 2 | \$5,000 | \$5,000 | \$3,700 | 06/29/2009 | |
| PNR 2005-1(LI) | 1 | \$2,500 | \$0 | \$0 | 12/05/2008 | CASE TERMINATED. |
| PNWR 2007-1(GC) | 1 | \$5,000 | \$5,000 | \$3,400 | 12/31/2008 | |
| PNWR 2007-2(GC) | 1 | \$2,500 | \$2,500 | \$1,600 | 11/07/2008 | |
| PNWR 2007-3(SA) | 1 | \$2,500 | \$2,500 | \$1,745 | 11/07/2008 | |
| PNWR 2007-8(GC) | 1 | \$5,000 | \$5,000 | \$3,400 | 12/31/2008 | |
| PNWR 2008-3(SA) | 1 | \$5,000 | \$5,000 | \$3,700 | 05/15/2009 | |
| PNWR 2008-4(SA) | 1 | \$5,000 | \$5,000 | \$3,400 | 12/31/2008 | |
| PNWR 2008-5(FCS) | 1 | \$5,000 | \$5,000 | \$3,400 | 12/31/2008 | |
| PNWR 2008-6(SA) | 1 | \$5,000 | \$5,000 | \$3,400 | 12/31/2008 | |
| PNWR 2008-7(TS) | 4 | \$11,000 | \$11,000 | \$7,590 | 12/31/2008 | |
| PNWR 2008-8(FCS) | 1 | \$2,500 | \$2,500 | \$1,750 | 12/31/2008 | |
| PNWR 2009-1(SA) | 1 | \$5,000 | \$5,000 | \$3,450 | 09/16/2009 | |
| PNWR 2009-2(SA) | 1 | \$5,000 | \$5,000 | \$3,450 | 09/16/2009 | |
| POHC 2003-1(HMT) | 2 | \$3,000 | \$3,000 | \$2,250 | 02/24/2009 | |
| POHC 2005-1(HMT) | 4 | \$15,000 | \$15,000 | \$10,480 | 02/24/2009 | |
| POS 2003-1(TS) | 24 | \$24,000 | \$0 | \$0 | 01/22/2009 | CASE TERMINATED. |
| POTB 2004-2(HSR) | 1 | \$1,000 | \$0 | \$0 | 11/19/2008 | CASE TERMINATED. |
| PPBD 2005-1(TS) | 4 | \$6,000 | \$6,000 | \$3,600 | 01/27/2009 | |
| PRV 2002-1(TS) | 5 | \$25,000 | \$0 | \$0 | 11/05/2008 | Case Terminated. |
| PSAP 2006-3(HMT) | 2 | \$9,000 | \$9,000 | \$6,000 | 06/08/2009 | |
| PSAP 2007-1(HMT) | 1 | \$2,500 | \$2,500 | \$1,700 | 06/08/2009 | |
| PSAP 2007-3(TS) | 3 | \$7,000 | \$7,000 | \$4,000 | 01/29/2009 | |
| PSAP 2008-4(SA) | 1 | \$2,500 | \$2,500 | \$2,500 | 08/20/2009 | |
| PTRA 2005-4(HMT) | 1 | \$1,000 | \$0 | \$0 | 11/19/2008 | Case Terminated. |
| PTRA 2006-3(AR) | 1 | \$2,500 | \$2,500 | \$2,000 | 01/14/2009 | |
| PTRA 2006-4(AR) | 1 | \$2,500 | \$2,500 | \$2,000 | 01/14/2009 | |
| PTRA 2007-1(HMT) | 1 | \$15,000 | \$15,000 | \$12,000 | 01/14/2009 | |
| PTRA 2007-2(AR) | 2 | \$3,500 | \$3,500 | \$2,800 | 01/14/2009 | |
| PTRA 2008-1(HMT) | 1 | \$4,000 | \$4,000 | \$3,200 | 01/14/2009 | |
| PTRA 2008-2(HMT) | 1 | \$5,000 | \$5,000 | \$4,000 | 01/14/2009 | |
| PTRA 2008-3(HMT) | 1 | \$2,000 | \$2,000 | \$1,600 | 01/14/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|--|
| PTRA 2008-5(HMT) | 1 | \$4,000 | \$4,000 | \$3,200 | 01/14/2009 | |
| PTRA 2008-6(RSP) | 1 | \$5,000 | \$5,000 | \$4,000 | 01/14/2009 | |
| PTRA 2008-7(HMT) | 1 | \$2,000 | \$2,000 | \$1,600 | 01/14/2009 | |
| PW 2007-1(SA) | 2 | \$10,000 | \$10,000 | \$6,500 | 12/16/2008 | |
| PW 2007-2(FCS) | 1 | \$5,000 | \$5,000 | \$3,700 | 12/16/2008 | |
| PW 2007-3(SA) | 1 | \$5,000 | \$5,000 | \$3,400 | 12/16/2008 | |
| PW 2008-1(SA) | 1 | \$5,000 | \$5,000 | \$3,600 | 12/16/2008 | |
| PW 2008-2(SA) | 1 | \$5,000 | \$5,000 | \$3,500 | 12/16/2008 | |
| RARW 2005-1(TS) | 3 | \$15,000 | \$15,000 | \$4,500 | 12/04/2008 | |
| RARW 2005-2(TS) | 1 | \$2,500 | \$2,500 | \$1,500 | 12/04/2008 | |
| RBMN 2005-1(GC) | 1 | \$5,000 | \$5,000 | \$3,000 | 01/16/2009 | |
| RBMN 2006-1(TS) | 1 | \$5,000 | \$5,000 | \$2,000 | 01/16/2009 | |
| RBMN 2006-2(HS) | 2 | \$2,000 | \$0 | \$0 | 01/16/2009 | CASE TERMINATED. |
| RCRY 2008-1(SA) | 1 | \$5,000 | \$5,000 | \$3,250 | 12/01/2008 | |
| RJCC 2007-1(SA) | 1 | \$5,000 | \$5,000 | \$3,500 | 02/25/2009 | |
| RJCL 2006-1(LI) | 1 | \$2,500 | \$2,500 | \$1,650 | 02/25/2009 | |
| RJCM 2005-2(SA) | 2 | \$10,000 | \$10,000 | \$6,850 | 02/25/2009 | |
| RJCM 2005-3(TS) | 2 | \$5,000 | \$5,000 | \$3,600 | 02/25/2009 | |
| RJCM 2005-4(TS) | 2 | \$5,000 | \$5,000 | \$3,600 | 02/25/2009 | |
| RJCM 2005-5(SA) | 5 | \$20,000 | \$20,000 | \$13,500 | 02/25/2009 | |
| RJCM 2005-6(FCS) | 1 | \$2,500 | \$2,500 | \$1,675 | 02/25/2009 | |
| RJCM 2005-7(LI) | 3 | \$7,500 | \$7,500 | \$5,000 | 02/25/2009 | |
| RJCM 2006-1(TS) | 1 | \$5,000 | \$5,000 | \$3,600 | 02/25/2009 | |
| RJCM 2006-2(LI) | 2 | \$5,000 | \$5,000 | \$3,400 | 02/25/2009 | |
| RJCM 2006-3(SA) | 1 | \$2,500 | \$2,500 | \$1,700 | 02/25/2009 | |
| RJCM 2007-1(SA) | 3 | \$10,000 | \$10,000 | \$6,900 | 02/25/2009 | |
| RJCM 2007-2(SA) | 1 | \$2,500 | \$2,500 | \$1,700 | 02/25/2009 | |
| RJCM 2007-3(SA) | 2 | \$5,000 | \$5,000 | \$3,400 | 02/25/2009 | |
| RJCM 2007-4(SA) | 1 | \$2,500 | \$2,500 | \$1,700 | 02/25/2009 | |
| RJCM 2007-5(FCS) | 2 | \$5,000 | \$5,000 | \$3,500 | 02/25/2009 | |
| RJCR 2005-1(RW) | 1 | \$2,500 | \$2,500 | \$1,750 | 02/25/2009 | |
| RJCR 2005-2(SA) | 1 | \$5,000 | \$5,000 | \$3,400 | 02/25/2009 | |
| RJCR 2005-3(LI) | 1 | \$2,500 | \$2,500 | \$1,675 | 02/25/2009 | |
| RLIX 2008-1(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 02/05/2009 | |
| RRVW 2008-1(SA) | 1 | \$5,000 | \$5,000 | \$4,000 | 12/22/2008 | |
| RSIX 2008-1(HMT) | 3 | \$6,000 | \$0 | \$0 | 09/11/2009 | Case Terminated. |
| SBS 2007-2(HMT) | 2 | \$15,000 | \$11,000 | \$11,000 | 06/12/2009 | Partially Terminated Violation(s)#: 1,2 |
| SCCT 2008-1(GC) | 1 | \$2,500 | \$2,500 | \$2,500 | 02/26/2009 | |
| SCIH 2008-1(SA) | 1 | \$2,500 | \$2,500 | \$1,650 | 04/16/2009 | |
| SCIH 2008-2(SA) | 1 | \$2,500 | \$2,500 | \$1,900 | 02/22/2009 | |
| SCIH 2008-3(SA) | 1 | \$2,500 | \$2,500 | \$1,900 | 12/03/2008 | |
| SCRIF 2007-2(AR) | 1 | \$2,500 | \$2,500 | \$1,775 | 09/15/2009 | |
| SDIY 2006-1(SA) | 1 | \$2,500 | \$2,500 | \$1,500 | 05/26/2009 | |
| SDNX 2007-1(RSP) | 1 | \$5,000 | \$5,000 | \$5,000 | 10/03/2008 | |
| SDNX 2008-2(GC) | 1 | \$5,000 | \$5,000 | \$5,000 | 10/03/2008 | |
| SDNX 2008-3(SI) | 1 | \$1,000 | \$1,000 | \$1,000 | 01/30/2009 | |
| SIM 2006-1(TS) | 1 | \$2,500 | \$2,500 | \$2,000 | 09/30/2009 | |
| SJVR 2007-4(GC) | 1 | \$2,500 | \$2,500 | \$1,800 | 06/04/2009 | |
| SJVR 2007-5(GC) | 1 | \$2,500 | \$2,500 | \$1,750 | 06/04/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| FRA No. | No. of Violations | POCA | PRCA | Settlement Amount | Settlement Date | Comments |
|-------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|--|
| SJVR 2007-6(GC) | 2 | \$5,000 | \$5,000 | \$3,000 | 06/04/2009 | |
| SJVR 2007-7(GC) | 1 | \$2,500 | \$2,500 | \$1,800 | 06/04/2009 | |
| SJVR 2007-8(AR) | 1 | \$2,500 | \$2,500 | \$1,500 | 06/04/2009 | |
| SJVR 2007-9(GC) | 1 | \$1,000 | \$1,000 | \$700 | 06/04/2009 | |
| SJVR 2008-2(GC) | 3 | \$7,500 | \$5,000 | \$3,600 | 06/04/2009 | Terminated Violation#: 2 Case Terminated. |
| SJVR 2008-4(AR) | 1 | \$2,500 | \$0 | \$0 | 06/04/2009 | |
| SJVR 2008-5(GC) | 3 | \$3,000 | \$3,000 | \$2,100 | 06/04/2009 | |
| SJVR 2008-6(GC) | 2 | \$2,000 | \$2,000 | \$1,400 | 06/04/2009 | |
| SJVR 2008-8(GC) | 1 | \$1,000 | \$1,000 | \$700 | 06/04/2009 | |
| SKOL 2006-5(GC) | 3 | \$7,500 | \$7,500 | \$5,700 | 09/11/2009 | |
| SKOL 2006-7(GC) | 1 | \$5,000 | \$0 | \$0 | 09/11/2009 | Case Terminated. |
| SKOL 2006-8(GC) | 1 | \$1,000 | \$0 | \$0 | 09/11/2009 | Case Terminated. |
| SKOL 2006-9(GC) | 3 | \$8,500 | \$8,500 | \$6,025 | 09/11/2009 | |
| SKOL 2007-1(GC) | 3 | \$7,500 | \$5,000 | \$3,825 | 09/11/2009 | Terminated Violation(s)#: 3 |
| SKOL 2007-10(EP) | 1 | \$1,500 | \$1,500 | \$1,125 | 09/11/2009 | |
| SKOL 2007-11(EP) | 1 | \$1,500 | \$1,500 | \$1,125 | 09/11/2009 | |
| SKOL 2007-12(SA) | 1 | \$5,000 | \$5,000 | \$3,400 | 09/11/2009 | |
| SKOL 2007-2(GC) | 1 | \$2,500 | \$0 | \$0 | 09/11/2009 | Case Terminated. |
| SKOL 2007-3(EP) | 1 | \$1,000 | \$1,000 | \$760 | 09/11/2009 | |
| SKOL 2007-4(GC) | 1 | \$1,000 | \$1,000 | \$730 | 09/11/2009 | |
| SKOL 2007-5(LI) | 1 | \$2,500 | \$2,500 | \$1,500 | 09/11/2009 | |
| SKOL 2007-6(SA) | 9 | \$22,500 | \$22,500 | \$17,100 | 09/11/2009 | |
| SKOL 2007-8(GC) | 1 | \$1,000 | \$1,000 | \$680 | 09/11/2009 | |
| SKOL 2007-9(GC) | 1 | \$1,000 | \$1,000 | \$750 | 09/11/2009 | |
| SKOL 2008-1(GC) | 2 | \$5,000 | \$2,500 | \$1,850 | 09/11/2009 | Terminated Violation(s)#: 2 |
| SLRG 2006-1(SA) | 3 | \$12,500 | \$12,500 | \$9,075 | 01/08/2009 | |
| SLRG 2006-10(ROP) | 2 | \$10,000 | \$10,000 | \$7,200 | 01/08/2009 | |
| SLRG 2006-2(ROR) | 3 | \$10,000 | \$10,000 | \$7,200 | 01/08/2009 | |
| SLRG 2006-3(TS) | 1 | \$2,500 | \$2,500 | \$1,875 | 01/08/2009 | |
| SLRG 2006-4(SA) | 2 | \$4,000 | \$4,000 | \$2,800 | 01/08/2009 | |
| SLRG 2006-5(AR) | 2 | \$5,000 | \$5,000 | \$3,800 | 01/08/2009 | |
| SLRG 2006-6(GS) | 1 | \$1,000 | \$1,000 | \$680 | 01/08/2009 | |
| SLRG 2006-7(GC) | 5 | \$9,500 | \$9,500 | \$6,840 | 01/08/2009 | |
| SLRG 2006-8(TS) | 1 | \$2,500 | \$2,500 | \$1,875 | 01/08/2009 | |
| SLRG 2006-9(LI) | 2 | \$3,500 | \$3,500 | \$2,700 | 01/08/2009 | |
| SLRG 2007-1(TS) | 2 | \$7,500 | \$7,500 | \$6,750 | 01/08/2009 | |
| SLRG 2007-2(TS) | 1 | \$2,000 | \$2,000 | \$1,600 | 01/08/2009 | |
| SLRG 2007-3(FCS) | 1 | \$2,500 | \$2,500 | \$1,875 | 01/08/2009 | |
| SLRG 2007-4(FCS) | 1 | \$2,500 | \$2,500 | \$1,875 | 01/08/2009 | |
| SLRG 2007-5(LI) | 1 | \$2,500 | \$2,500 | \$1,700 | 01/08/2009 | |
| SLRG 2008-1(SA) | 1 | \$2,500 | \$2,500 | \$1,800 | 01/08/2009 | |
| SLRG 2008-2(TS) | 3 | \$7,500 | \$7,500 | \$5,625 | 01/08/2009 | |
| SLWC 2007-1(TS) | 1 | \$2,500 | \$2,500 | \$1,875 | 09/11/2009 | |
| SLWC 2007-2(TS) | 1 | \$2,500 | \$2,500 | \$1,925 | 09/11/2009 | |
| SLWC 2007-4(TS) | 4 | \$7,000 | \$7,000 | \$5,390 | 09/11/2009 | |
| SLWC 2007-5(TS) | 17 | \$42,500 | \$42,500 | \$21,500 | 09/11/2009 | |
| SOU 2007-16(REM) | 1 | \$5,000 | \$0 | \$0 | 09/30/2009 | Case Terminated. |
| SOU 2007-161(AR) | 37 | \$92,500 | \$20,000 | \$13,725 | 09/25/2009 | Terminated Violation(s)# 3-31. |
| SOU 2007-188(AR) | 9 | \$22,500 | \$20,000 | \$14,400 | 09/25/2009 | Terminated Violation(s)#: 1 |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|-------------------|--------------------------|-------------|-------------|--------------------------|------------------------|--|
| SOU 2007-189(AR) | 10 | \$25,000 | \$22,500 | \$15,750 | 09/25/2009 | Terminated Violation(s): 1 Terminated Violation(s): 2, 3, 4, 5, 6, 8 |
| SOU 2007-190(AR) | 8 | \$20,000 | \$5,000 | \$3,600 | 09/25/2009 | |
| SOU 2007-194(FCS) | 2 | \$5,000 | \$5,000 | \$3,500 | 09/30/2009 | |
| SOU 2007-196(AR) | 10 | \$23,500 | \$20,000 | \$13,500 | 09/25/2009 | Terminated Violation(s): 2, 10 |
| SOU 2007-197(AR) | 10 | \$25,000 | \$25,000 | \$17,250 | 09/25/2009 | Terminated Violation(s): 1, 2, 5 |
| SOU 2007-199(AR) | 5 | \$12,500 | \$5,000 | \$4,875 | 09/25/2009 | |
| SOU 2007-200(FCS) | 1 | \$2,000 | \$2,000 | \$1,525 | 09/30/2009 | |
| SOU 2007-201(SI) | 3 | \$3,000 | \$3,000 | \$2,160 | 09/25/2009 | Terminated Violation(s): 6 Case Terminated. Case Terminated |
| SOU 2007-202(ROP) | 1 | \$5,000 | \$5,000 | \$3,750 | 09/25/2009 | |
| SOU 2007-203(GC) | 1 | \$5,000 | \$5,000 | \$3,750 | 09/30/2009 | |
| SOU 2007-204(FCS) | 1 | \$2,500 | \$2,500 | \$1,750 | 09/30/2009 | Terminated Violation(s): 2 |
| SOU 2007-206(AR) | 6 | \$15,000 | \$12,500 | \$8,375 | 09/25/2009 | |
| SOU 2007-207(AR) | 1 | \$2,500 | \$0 | \$0 | 09/25/2009 | |
| SOU 2007-208(REM) | 1 | \$5,000 | \$0 | \$0 | 09/30/2009 | Case Terminated. |
| SOU 2008-10(RSP) | 1 | \$2,500 | \$2,500 | \$1,875 | 09/25/2009 | |
| SOU 2008-100(AR) | 2 | \$5,000 | \$2,500 | \$1,625 | 09/25/2009 | |
| SOU 2008-101(HS) | 3 | \$3,000 | \$3,000 | \$1,980 | 09/30/2009 | Terminated Violation(s): 2 |
| SOU 2008-102(FCS) | 1 | \$2,500 | \$2,500 | \$1,700 | 09/30/2009 | |
| SOU 2008-103(SA) | 2 | \$10,000 | \$10,000 | \$7,000 | 09/30/2009 | |
| SOU 2008-104(SA) | 3 | \$10,000 | \$10,000 | \$7,175 | 09/30/2009 | Case Terminated. |
| SOU 2008-105(AR) | 3 | \$7,500 | \$7,500 | \$5,250 | 09/25/2009 | |
| SOU 2008-106(AR) | 1 | \$2,500 | \$0 | \$0 | 09/25/2009 | |
| SOU 2008-107(SI) | 1 | \$1,000 | \$1,000 | \$720 | 09/25/2009 | Terminated Violation(s): 3 |
| SOU 2008-108(SA) | 1 | \$2,500 | \$2,500 | \$1,675 | 09/30/2009 | |
| SOU 2008-109(HSR) | 1 | \$1,000 | \$1,000 | \$550 | 09/30/2009 | |
| SOU 2008-11(LI) | 1 | \$2,500 | \$2,500 | \$1,750 | 09/30/2009 | By error this case was sent for \$15,500; therefore, adjusted PRCA from correct total of \$18,000 to reflect \$15,500. |
| SOU 2008-110(HS) | 3 | \$3,000 | \$3,000 | \$2,190 | 09/30/2009 | |
| SOU 2008-111(FCS) | 5 | \$15,000 | \$15,000 | \$10,125 | 09/30/2009 | |
| SOU 2008-113(SA) | 4 | \$12,500 | \$12,500 | \$8,640 | 09/30/2009 | Terminated Violation(s): 3 |
| SOU 2008-114(SA) | 3 | \$10,000 | \$10,000 | \$7,000 | 09/30/2009 | |
| SOU 2008-115(AR) | 10 | \$25,000 | \$25,000 | \$17,750 | 09/25/2009 | |
| SOU 2008-116(AR) | 5 | \$12,500 | \$12,500 | \$8,625 | 09/25/2009 | Terminated Violation(s): 3 |
| SOU 2008-117(AR) | 4 | \$10,000 | \$7,500 | \$5,550 | 09/25/2009 | |
| SOU 2008-118(FCS) | 1 | \$5,000 | \$5,000 | \$3,800 | 09/30/2009 | |
| SOU 2008-119(LI) | 6 | \$15,000 | \$15,000 | \$8,750 | 09/30/2009 | By error this case was sent for \$15,500; therefore, adjusted PRCA from correct total of \$18,000 to reflect \$15,500. |
| SOU 2008-12(AR) | 1 | \$2,500 | \$2,500 | \$1,775 | 09/25/2009 | |
| SOU 2008-120(EO) | 1 | \$5,000 | \$5,000 | \$3,500 | 09/30/2009 | |
| SOU 2008-122(SA) | 4 | \$12,500 | \$12,500 | \$8,750 | 09/30/2009 | By error this case was sent for \$15,500; therefore, adjusted PRCA from correct total of \$18,000 to reflect \$15,500. |
| SOU 2008-123(SA) | 3 | \$10,000 | \$10,000 | \$6,800 | 09/30/2009 | |
| SOU 2008-124(LI) | 8 | \$15,500 | \$15,500 | \$11,350 | 09/30/2009 | |
| SOU 2008-126(HMT) | 3 | \$10,500 | \$10,500 | \$7,000 | 09/25/2009 | By error this case was sent for \$15,500; therefore, adjusted PRCA from correct total of \$18,000 to reflect \$15,500. |
| SOU 2008-127(HMT) | 5 | \$22,000 | \$22,000 | \$13,800 | 09/25/2009 | |
| SOU 2008-128(RW) | 2 | \$2,000 | \$2,000 | \$1,500 | 09/25/2009 | |
| SOU 2008-129(SA) | 4 | \$20,000 | \$20,000 | \$13,200 | 09/30/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| FRA No. | No. of Violations | POCA | PRCA | Settlement Amount | Settlement Date | Comments |
|-------------------|--------------------------|-------------|-------------|--------------------------|------------------------|--|
| SOU 2008-13(RW) | 1 | \$1,000 | \$1,000 | \$690 | 09/25/2009 | Case Terminated. |
| SOU 2008-130(HSR) | 2 | \$2,000 | \$0 | \$0 | 09/30/2009 | |
| SOU 2008-131(AR) | 2 | \$5,000 | \$5,000 | \$3,450 | 09/25/2009 | |
| SOU 2008-132(SA) | 3 | \$7,500 | \$7,500 | \$5,250 | 09/30/2009 | |
| SOU 2008-133(SA) | 3 | \$17,500 | \$17,500 | \$11,750 | 09/30/2009 | |
| SOU 2008-134(LI) | 3 | \$7,500 | \$7,500 | \$5,250 | 09/30/2009 | Terminated Violation(s)#: 1 |
| SOU 2008-135(FCS) | 3 | \$7,500 | \$7,500 | \$5,100 | 09/30/2009 | |
| SOU 2008-136(RSP) | 2 | \$6,000 | \$1,000 | \$720 | 09/25/2009 | |
| SOU 2008-138(HS) | 2 | \$2,000 | \$2,000 | \$1,100 | 09/30/2009 | |
| SOU 2008-139(SA) | 3 | \$7,500 | \$7,500 | \$5,625 | 09/30/2009 | |
| SOU 2008-14(EP) | 1 | \$1,000 | \$1,000 | \$720 | 09/25/2009 | Terminated Violation(s)#: 2 |
| SOU 2008-140(SA) | 3 | \$7,500 | \$7,500 | \$5,250 | 09/30/2009 | |
| SOU 2008-142(HMT) | 4 | \$23,000 | \$19,000 | \$13,400 | 09/25/2009 | |
| SOU 2008-144(SA) | 2 | \$5,000 | \$5,000 | \$3,600 | 09/30/2009 | |
| SOU 2008-145(LI) | 2 | \$5,000 | \$5,000 | \$3,625 | 09/30/2009 | |
| SOU 2008-146(AR) | 9 | \$22,500 | \$20,000 | \$14,600 | 09/25/2009 | Terminated Violation(s)#: 1 |
| SOU 2008-148(FCS) | 1 | \$2,500 | \$2,500 | \$1,700 | 09/30/2009 | |
| SOU 2008-149(GC) | 1 | \$5,000 | \$5,000 | \$3,650 | 09/30/2009 | |
| SOU 2008-150(SA) | 4 | \$12,500 | \$12,500 | \$8,650 | 09/30/2009 | |
| SOU 2008-151(SA) | 5 | \$15,000 | \$15,000 | \$10,400 | 09/30/2009 | |
| SOU 2008-153(LI) | 3 | \$6,000 | \$6,000 | \$4,180 | 09/30/2009 | Partial Termination (wrong penalty assessed) |
| SOU 2008-154(EQ) | 1 | \$1,000 | \$1,000 | \$730 | 09/25/2009 | |
| SOU 2008-155(AR) | 2 | \$10,000 | \$10,000 | \$6,800 | 09/25/2009 | |
| SOU 2008-156(GC) | 1 | \$5,000 | \$5,000 | \$3,700 | 09/30/2009 | |
| SOU 2008-157(LI) | 1 | \$2,500 | \$2,500 | \$1,750 | 09/30/2009 | |
| SOU 2008-159(SA) | 3 | \$10,000 | \$10,000 | \$6,750 | 09/30/2009 | |
| SOU 2008-160(FCS) | 2 | \$5,000 | \$5,000 | \$3,500 | 09/30/2009 | |
| SOU 2008-161(HMT) | 1 | \$2,000 | \$2,000 | \$1,280 | 09/25/2009 | |
| SOU 2008-162(SA) | 1 | \$5,000 | \$5,000 | \$3,400 | 09/30/2009 | |
| SOU 2008-163(HMT) | 1 | \$7,000 | \$6,000 | \$4,440 | 09/25/2009 | |
| SOU 2008-164(ROP) | 1 | \$2,500 | \$2,500 | \$1,875 | 09/25/2009 | |
| SOU 2008-165(RW) | 1 | \$1,000 | \$1,000 | \$720 | 09/25/2009 | |
| SOU 2008-166(FCS) | 4 | \$8,500 | \$8,500 | \$5,650 | 09/30/2009 | |
| SOU 2008-167(SA) | 5 | \$20,000 | \$20,000 | \$14,300 | 09/25/2009 | |
| SOU 2008-169(SA) | 5 | \$20,000 | \$20,000 | \$14,000 | 09/25/2009 | |
| SOU 2008-170(SA) | 4 | \$15,000 | \$15,000 | \$10,650 | 09/25/2009 | |
| SOU 2008-171(SA) | 3 | \$10,000 | \$10,000 | \$6,800 | 09/25/2009 | |
| SOU 2008-172(SA) | 3 | \$10,000 | \$10,000 | \$6,750 | 09/25/2009 | |
| SOU 2008-173(LI) | 1 | \$2,500 | \$2,500 | \$1,750 | 09/30/2009 | |
| SOU 2008-174(RW) | 2 | \$2,000 | \$2,000 | \$1,400 | 09/25/2009 | |
| SOU 2008-175(SA) | 1 | \$5,000 | \$5,000 | \$3,600 | 09/25/2009 | |
| SOU 2008-176(AR) | 1 | \$2,500 | \$2,500 | \$1,825 | 09/25/2009 | |
| SOU 2008-178(LI) | 6 | \$6,000 | \$6,000 | \$4,200 | 09/30/2009 | |
| SOU 2008-179(HMT) | 5 | \$24,000 | \$24,000 | \$16,300 | 09/25/2009 | |
| SOU 2008-18(SA) | 6 | \$22,500 | \$22,500 | \$15,750 | 09/30/2009 | |
| SOU 2008-180(SA) | 6 | \$25,000 | \$25,000 | \$18,125 | 09/25/2009 | |
| SOU 2008-181(SA) | 4 | \$10,000 | \$10,000 | \$7,125 | 09/25/2009 | |
| SOU 2008-182(AR) | 2 | \$5,000 | \$5,000 | \$3,500 | 09/25/2009 | |
| SOU 2008-183(FCS) | 6 | \$15,000 | \$15,000 | \$9,900 | 09/30/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|-------------------|--------------------------|-------------|-------------|--------------------------|------------------------|-----------------------------------|
| SOU 2008-184(GC) | 1 | \$5,000 | \$5,000 | \$3,700 | 09/30/2009 | |
| SOU 2008-185(SA) | 2 | \$7,500 | \$7,500 | \$5,350 | 09/25/2009 | |
| SOU 2008-186(FCS) | 2 | \$5,000 | \$5,000 | \$3,450 | 09/30/2009 | |
| SOU 2008-187(GC) | 1 | \$5,000 | \$5,000 | \$3,700 | 09/30/2009 | |
| SOU 2008-188(SA) | 5 | \$15,000 | \$15,000 | \$10,775 | 09/25/2009 | |
| SOU 2008-19(GC) | 1 | \$2,500 | \$2,500 | \$1,875 | 09/30/2009 | |
| SOU 2008-190(GC) | 5 | \$12,000 | \$12,000 | \$8,090 | 09/30/2009 | |
| SOU 2008-191(AD) | 1 | \$2,500 | \$2,500 | \$1,775 | 09/25/2009 | |
| SOU 2008-192(HMT) | 6 | \$28,500 | \$17,500 | \$11,900 | 09/25/2009 | Terminated violation(s)#: 1, 5, 6 |
| SOU 2008-193(LI) | 3 | \$4,500 | \$4,500 | \$3,300 | 09/30/2009 | |
| SOU 2008-194(RW) | 3 | \$6,000 | \$6,000 | \$4,540 | 09/25/2009 | |
| SOU 2008-195(RW) | 2 | \$2,000 | \$2,000 | \$1,450 | 09/25/2009 | |
| SOU 2008-196(EQ) | 6 | \$6,000 | \$6,000 | \$4,350 | 09/25/2009 | |
| SOU 2008-197(GC) | 1 | \$2,500 | \$2,500 | \$1,875 | 09/30/2009 | |
| SOU 2008-199(LI) | 1 | \$2,500 | \$2,500 | \$2,000 | 09/30/2009 | |
| SOU 2008-200(SA) | 4 | \$10,000 | \$10,000 | \$7,000 | 09/30/2009 | |
| SOU 2008-200(SA) | 2 | \$7,500 | \$7,500 | \$5,450 | 09/25/2009 | |
| SOU 2008-201(SA) | 3 | \$15,000 | \$15,000 | \$10,700 | 09/25/2009 | |
| SOU 2008-202(GC) | 1 | \$5,000 | \$5,000 | \$3,700 | 09/30/2009 | |
| SOU 2008-203(ROR) | 1 | \$5,000 | \$5,000 | \$3,500 | 09/25/2009 | |
| SOU 2008-204(SA) | 1 | \$5,000 | \$5,000 | \$3,600 | 09/25/2009 | |
| SOU 2008-205(TS) | 1 | \$5,000 | \$5,000 | \$3,650 | 09/25/2009 | |
| SOU 2008-207(FCS) | 1 | \$2,500 | \$2,500 | \$1,700 | 09/30/2009 | |
| SOU 2008-208(SA) | 2 | \$5,000 | \$5,000 | \$3,500 | 09/25/2009 | |
| SOU 2008-209(HMT) | 1 | \$5,000 | \$5,000 | \$3,600 | 09/25/2009 | |
| SOU 2008-21(SA) | 4 | \$10,000 | \$10,000 | \$7,000 | 09/30/2009 | |
| SOU 2008-210(LI) | 1 | \$2,500 | \$2,500 | \$2,125 | 09/30/2009 | |
| SOU 2008-211(RW) | 1 | \$1,000 | \$1,000 | \$740 | 09/25/2009 | |
| SOU 2008-212(TS) | 1 | \$2,500 | \$2,500 | \$1,800 | 09/25/2009 | |
| SOU 2008-213(RW) | 1 | \$1,000 | \$1,000 | \$700 | 09/25/2009 | |
| SOU 2008-214(SA) | 1 | \$5,000 | \$5,000 | \$3,600 | 09/25/2009 | |
| SOU 2008-215(AR) | 3 | \$7,500 | \$7,500 | \$5,400 | 09/25/2009 | |
| SOU 2008-219(LI) | 2 | \$5,000 | \$5,000 | \$3,250 | 09/30/2009 | |
| SOU 2008-22(FCS) | 3 | \$10,000 | \$10,000 | \$7,500 | 09/30/2009 | |
| SOU 2008-220(AD) | 1 | \$2,500 | \$2,500 | \$1,800 | 09/25/2009 | |
| SOU 2008-221(BW) | 1 | \$5,000 | \$5,000 | \$3,400 | 09/30/2009 | |
| SOU 2008-222(ROP) | 2 | \$5,000 | \$5,000 | \$3,300 | 09/25/2009 | |
| SOU 2008-224(FCS) | 1 | \$5,000 | \$5,000 | \$3,250 | 09/30/2009 | |
| SOU 2008-225(SA) | 2 | \$5,000 | \$5,000 | \$3,475 | 09/25/2009 | |
| SOU 2008-226(SA) | 3 | \$15,000 | \$15,000 | \$10,800 | 09/25/2009 | |
| SOU 2008-227(TS) | 1 | \$2,500 | \$2,500 | \$1,850 | 09/25/2009 | |
| SOU 2008-228(HS) | 2 | \$2,000 | \$2,000 | \$1,480 | 09/30/2009 | |
| SOU 2008-23(FCS) | 2 | \$5,000 | \$5,000 | \$3,500 | 09/30/2009 | |
| SOU 2008-232(FCS) | 1 | \$2,500 | \$2,500 | \$2,125 | 09/30/2009 | |
| SOU 2008-233(SA) | 3 | \$12,500 | \$12,500 | \$8,850 | 09/25/2009 | |
| SOU 2008-234(SA) | 4 | \$15,000 | \$15,000 | \$9,800 | 09/25/2009 | |
| SOU 2008-237(GC) | 1 | \$5,000 | \$0 | \$0 | 09/30/2009 | Case Terminated. |
| SOU 2008-238(SA) | 4 | \$15,000 | \$12,500 | \$8,825 | 09/25/2009 | Terminated Violation(s)#: 4 |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|-------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|------------------|
| SOU 2008-239(SA) | 1 | \$2,500 | \$2,500 | \$1,750 | 09/25/2009 | |
| SOU 2008-24(ROP) | 1 | \$2,500 | \$2,500 | \$1,650 | 09/25/2009 | |
| SOU 2008-240(LI) | 9 | \$12,000 | \$12,000 | \$8,150 | 09/30/2009 | |
| SOU 2008-242(RW) | 1 | \$3,000 | \$3,000 | \$2,050 | 09/25/2009 | |
| SOU 2008-244(SI) | 1 | \$5,000 | \$5,000 | \$3,750 | 09/25/2009 | |
| SOU 2008-246(SA) | 4 | \$15,000 | \$15,000 | \$10,500 | 09/25/2009 | |
| SOU 2008-25(AR) | 9 | \$22,500 | \$22,500 | \$14,625 | 09/25/2009 | |
| SOU 2008-250(HS) | 1 | \$1,000 | \$1,000 | \$710 | 09/30/2009 | |
| SOU 2008-251(HSR) | 1 | \$1,000 | \$1,000 | \$850 | 09/30/2009 | Case Terminated. |
| SOU 2008-252(SA) | 2 | \$10,000 | \$10,000 | \$7,000 | 09/25/2009 | |
| SOU 2008-253(RSP) | 1 | \$1,000 | \$1,000 | \$740 | 09/25/2009 | |
| SOU 2008-254(LI) | 6 | \$11,000 | \$11,000 | \$8,800 | 09/30/2009 | |
| SOU 2008-255(RW) | 1 | \$5,000 | \$5,000 | \$3,850 | 09/25/2009 | |
| SOU 2008-256(SA) | 1 | \$5,000 | \$5,000 | \$3,600 | 09/25/2009 | |
| SOU 2008-258(GC) | 5 | \$17,500 | \$17,500 | \$11,375 | 09/30/2009 | |
| SOU 2008-26(AR) | 10 | \$35,000 | \$35,000 | \$24,850 | 09/25/2009 | |
| SOU 2008-260(TS) | 13 | \$15,000 | \$15,000 | \$11,700 | 09/25/2009 | |
| SOU 2008-261(HS) | 3 | \$3,000 | \$3,000 | \$2,160 | 09/30/2009 | |
| SOU 2008-264(SI) | 1 | \$2,500 | \$2,500 | \$1,750 | 09/25/2009 | |
| SOU 2008-265(HSR) | 1 | \$1,000 | \$1,000 | \$750 | 09/30/2009 | |
| SOU 2008-267(RW) | 1 | \$1,000 | \$1,000 | \$740 | 09/25/2009 | |
| SOU 2008-27(AR) | 8 | \$20,000 | \$20,000 | \$14,000 | 09/25/2009 | |
| SOU 2008-270(FCS) | 3 | \$7,500 | \$7,500 | \$5,900 | 09/30/2009 | |
| SOU 2008-271(SA) | 4 | \$17,500 | \$17,500 | \$12,550 | 09/25/2009 | |
| SOU 2008-274(HS) | 4 | \$4,000 | \$4,000 | \$2,920 | 09/30/2009 | |
| SOU 2008-275(HSR) | 3 | \$3,000 | \$3,000 | \$2,250 | 09/30/2009 | |
| SOU 2008-277(FCS) | 4 | \$10,000 | \$10,000 | \$7,000 | 09/30/2009 | |
| SOU 2008-28(AR) | 6 | \$15,000 | \$15,000 | \$10,450 | 09/25/2009 | |
| SOU 2008-280(SA) | 4 | \$12,500 | \$12,500 | \$8,725 | 09/25/2009 | |
| SOU 2008-282(LI) | 7 | \$10,000 | \$10,000 | \$7,625 | 09/30/2009 | |
| SOU 2008-284(HMT) | 2 | \$12,500 | \$12,500 | \$7,900 | 09/25/2009 | |
| SOU 2008-285(AR) | 5 | \$12,500 | \$12,500 | \$9,000 | 09/25/2009 | |
| SOU 2008-286(TS) | 1 | \$5,000 | \$5,000 | \$3,600 | 09/25/2009 | |
| SOU 2008-287(FCS) | 1 | \$5,000 | \$5,000 | \$4,000 | 09/30/2009 | |
| SOU 2008-288(HS) | 1 | \$1,000 | \$1,000 | \$550 | 09/30/2009 | |
| SOU 2008-289(SA) | 3 | \$7,500 | \$7,500 | \$5,250 | 09/25/2009 | |
| SOU 2008-29(HSR) | 2 | \$2,000 | \$2,000 | \$1,380 | 09/30/2009 | |
| SOU 2008-290(SA) | 3 | \$7,500 | \$7,500 | \$5,250 | 09/25/2009 | |
| SOU 2008-291(AR) | 1 | \$2,500 | \$2,500 | \$1,775 | 09/25/2009 | |
| SOU 2008-30(TS) | 7 | \$23,500 | \$23,500 | \$16,985 | 09/25/2009 | |
| SOU 2008-31(RSP) | 1 | \$1,000 | \$1,000 | \$730 | 09/25/2009 | |
| SOU 2008-32(RSP) | 1 | \$1,000 | \$1,000 | \$730 | 09/25/2009 | |
| SOU 2008-33(RSP) | 1 | \$2,500 | \$2,500 | \$1,800 | 09/25/2009 | |
| SOU 2008-34(FCS) | 4 | \$12,500 | \$12,500 | \$9,000 | 09/30/2009 | |
| SOU 2008-35(SA) | 5 | \$15,000 | \$15,000 | \$10,525 | 09/30/2009 | |
| SOU 2008-36(SA) | 5 | \$15,000 | \$15,000 | \$11,150 | 09/30/2009 | |
| SOU 2008-37(AR) | 1 | \$2,500 | \$2,500 | \$1,750 | 09/25/2009 | |
| SOU 2008-38(AR) | 1 | \$2,500 | \$2,500 | \$1,800 | 09/25/2009 | |
| SOU 2008-39(AR) | 1 | \$2,500 | \$2,500 | \$1,775 | 09/25/2009 | |

**Federal Railroad Administration
Safety Cases Closed in FY 2009**

| FRA No. | No. of Violations | POCA | PRCA | Settlement Amount | Settlement Date | Comments |
|------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|---|
| SOU 2008-40(AR) | 1 | \$2,500 | \$2,500 | \$1,780 | 09/25/2009 | |
| SOU 2008-41(AR) | 1 | \$2,500 | \$2,500 | \$1,800 | 09/25/2009 | |
| SOU 2008-42(AR) | 1 | \$2,500 | \$2,500 | \$1,740 | 09/25/2009 | |
| SOU 2008-43(AR) | 1 | \$2,500 | \$2,500 | \$1,740 | 09/25/2009 | |
| SOU 2008-44(AR) | 1 | \$2,500 | \$2,500 | \$1,800 | 09/25/2009 | |
| SOU 2008-45(AR) | 1 | \$2,500 | \$2,500 | \$1,800 | 09/25/2009 | |
| SOU 2008-46(AR) | 1 | \$2,500 | \$2,500 | \$1,850 | 09/25/2009 | |
| SOU 2008-47(AR) | 1 | \$2,500 | \$2,500 | \$1,850 | 09/25/2009 | |
| SOU 2008-49(AR) | 1 | \$2,500 | \$2,500 | \$1,850 | 09/25/2009 | |
| SOU 2008-5(HMT) | 11 | \$48,500 | \$23,000 | \$16,000 | 09/25/2009 | Terminated Violation(s)#: 7,8,9 - Partially Terminated Violation(s)#: 4,5,6 |
| SOU 2008-50(AR) | 1 | \$2,500 | \$2,500 | \$1,830 | 09/25/2009 | |
| SOU 2008-51(AR) | 1 | \$2,500 | \$2,500 | \$1,825 | 09/25/2009 | |
| SOU 2008-52(GC) | 1 | \$5,000 | \$5,000 | \$3,850 | 09/30/2009 | |
| SOU 2008-53(AR) | 1 | \$2,500 | \$2,500 | \$1,700 | 09/25/2009 | |
| SOU 2008-54(LI) | 3 | \$7,500 | \$7,500 | \$5,100 | 09/30/2009 | |
| SOU 2008-55(SI) | 1 | \$1,000 | \$1,000 | \$720 | 09/25/2009 | |
| SOU 2008-56(SA) | 4 | \$12,500 | \$12,500 | \$8,750 | 09/30/2009 | |
| SOU 2008-57(GS) | 1 | \$2,500 | \$2,500 | \$1,700 | 09/30/2009 | |
| SOU 2008-58(SA) | 3 | \$15,000 | \$15,000 | \$10,750 | 09/30/2009 | |
| SOU 2008-59(SA) | 2 | \$10,000 | \$10,000 | \$6,500 | 09/30/2009 | |
| SOU 2008-6(HMT) | 4 | \$25,500 | \$21,000 | \$13,500 | 09/25/2009 | Partially Terminated Violation(s)#: 1,2,4 |
| SOU 2008-60(SI) | 1 | \$5,000 | \$5,000 | \$3,700 | 09/25/2009 | |
| SOU 2008-62(HSR) | 1 | \$1,000 | \$1,000 | \$720 | 09/30/2009 | |
| SOU 2008-63(TS) | 3 | \$11,000 | \$11,000 | \$8,130 | 09/25/2009 | |
| SOU 2008-64(AR) | 1 | \$2,500 | \$2,500 | \$1,750 | 09/25/2009 | |
| SOU 2008-65(LI) | 1 | \$1,000 | \$1,000 | \$690 | 09/30/2009 | |
| SOU 2008-66(RSP) | 1 | \$1,000 | \$1,000 | \$730 | 09/25/2009 | |
| SOU 2008-67(TS) | 2 | \$10,000 | \$10,000 | \$7,200 | 09/25/2009 | |
| SOU 2008-68(HMT) | 4 | \$20,000 | \$20,000 | \$15,100 | 09/25/2009 | |
| SOU 2008-69(FCS) | 2 | \$5,000 | \$5,000 | \$4,000 | 09/30/2009 | |
| SOU 2008-70(SI) | 2 | \$2,000 | \$2,000 | \$1,440 | 09/25/2009 | |
| SOU 2008-71(RW) | 1 | \$1,000 | \$1,000 | \$690 | 09/25/2009 | |
| SOU 2008-72(LI) | 2 | \$6,000 | \$6,000 | \$5,050 | 09/30/2009 | |
| SOU 2008-73(HMT) | 4 | \$20,500 | \$16,500 | \$12,145 | 09/25/2009 | Terminated Violation(s)#: 1 |
| SOU 2008-74(SA) | 3 | \$10,000 | \$10,000 | \$7,600 | 09/30/2009 | |
| SOU 2008-76(ROR) | 13 | \$65,000 | \$5,000 | \$3,700 | 09/25/2009 | Terminated Violation(s)#: 1, 3-13 |
| SOU 2008-77(HSR) | 2 | \$2,000 | \$2,000 | \$1,400 | 09/30/2009 | |
| SOU 2008-78(AR) | 9 | \$21,000 | \$16,000 | \$8,900 | 09/25/2009 | Terminated Violation(s)#: 2,3 |
| SOU 2008-79(AR) | 8 | \$20,000 | \$17,500 | \$11,550 | 09/25/2009 | Terminated Violation(s)#: 4 |
| SOU 2008-8(HMT) | 11 | \$34,000 | \$28,000 | \$15,000 | 09/25/2009 | Terminated Violation(s)#: 2,3,4, 5 |
| SOU 2008-80(AR) | 1 | \$2,500 | \$2,500 | \$1,700 | 09/25/2009 | |
| SOU 2008-81(SA) | 1 | \$5,000 | \$5,000 | \$3,100 | 09/30/2009 | |
| SOU 2008-82(AR) | 6 | \$15,000 | \$15,000 | \$10,650 | 09/25/2009 | |
| SOU 2008-83(AR) | 4 | \$10,000 | \$10,000 | \$7,150 | 09/25/2009 | |
| SOU 2008-84(HSR) | 4 | \$2,200 | \$2,200 | \$2,200 | 09/30/2009 | Corrected POCA from \$2,000 to \$2,200 to reflect minimum |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|--|
| | | | | | | penalty assessment. |
| SOU 2008-85(LI) | 1 | \$2,500 | \$2,500 | \$1,700 | 09/30/2009 | |
| SOU 2008-86(TS) | 1 | \$2,500 | \$2,500 | \$2,000 | 09/25/2009 | |
| SOU 2008-87(FCS) | 2 | \$10,000 | \$10,000 | \$6,500 | 09/30/2009 | |
| SOU 2008-88(SA) | 2 | \$5,000 | \$5,000 | \$3,400 | 09/30/2009 | |
| SOU 2008-89(SA) | 2 | \$10,000 | \$10,000 | \$6,800 | 09/30/2009 | |
| SOU 2008-90(FCS) | 3 | \$7,500 | \$7,500 | \$4,875 | 09/30/2009 | |
| SOU 2008-91(ROR) | 1 | \$2,500 | \$2,500 | \$1,750 | 09/25/2009 | |
| SOU 2008-92(AR) | 4 | \$10,000 | \$10,000 | \$6,950 | 09/25/2009 | |
| SOU 2008-93(AR) | 6 | \$15,000 | \$15,000 | \$10,350 | 09/25/2009 | |
| SOU 2008-94(AR) | 5 | \$12,500 | \$12,500 | \$8,500 | 09/25/2009 | |
| SOU 2008-95(AR) | 4 | \$10,000 | \$7,500 | \$5,400 | 09/25/2009 | Terminated Violation(s)#: 3 |
| SOU 2008-96(HSR) | 1 | \$1,000 | \$1,000 | \$790 | 09/30/2009 | |
| SOU 2008-97(AR) | 10 | \$25,000 | \$15,000 | \$10,500 | 09/25/2009 | Terminated Violation(s)#: 1, 2, 3, 6 |
| SOU 2008-98(AR) | 4 | \$10,000 | \$10,000 | \$7,500 | 09/25/2009 | |
| SOU 2008-99(PEP) | 2 | \$7,500 | \$7,500 | \$4,950 | 09/30/2009 | |
| SOU 2009-3(SA) | 1 | \$2,500 | \$2,500 | \$1,800 | 09/25/2009 | |
| TASD 2007-1(TS) | 2 | \$10,000 | \$10,000 | \$10,000 | 10/15/2008 | |
| TASD 2008-1(HSR) | 1 | \$1,000 | \$1,000 | \$900 | 01/22/2009 | |
| TASD 2008-2(EQ) | 2 | \$2,000 | \$2,000 | \$1,800 | 01/22/2009 | |
| TASD 2008-3(ROP) | 1 | \$2,000 | \$2,000 | \$1,800 | 01/22/2009 | |
| TASD 2008-4(LI) | 2 | \$10,000 | \$10,000 | \$9,000 | 01/22/2009 | |
| TCRC 2004-1(TS) | 2 | \$7,500 | \$7,500 | \$4,000 | 12/18/2008 | |
| TCRV 2008-1(ROP) | 1 | \$5,000 | \$5,000 | \$4,000 | 11/14/2008 | |
| TCRZ 2008-1(FCS) | 1 | \$2,500 | \$0 | \$0 | 10/29/2008 | CASE TERMINATED AS IT WAS AGAINST ZTCR. |
| TCSZ 2008-1(SA) | 1 | \$2,500 | \$2,500 | \$2,000 | 11/13/2008 | |
| TCWR 2008-1(FCS) | 2 | \$5,000 | \$5,000 | \$4,000 | 07/01/2009 | |
| TIBR 2007-1(ROP) | 1 | \$5,000 | \$5,000 | \$3,700 | 09/11/2009 | |
| TIBR 2007-2(LI) | 7 | \$15,500 | \$15,500 | \$11,470 | 09/11/2009 | |
| TMBL 2007-1(GC) | 1 | \$2,500 | \$2,500 | \$1,800 | 12/15/2008 | |
| TMBL 2008-1(SA) | 3 | \$15,000 | \$15,000 | \$10,750 | 12/15/2008 | |
| TNMR 2007-1(HMT) | 2 | \$5,000 | \$5,000 | \$3,500 | 12/22/2008 | |
| TRRA 2008-1(SA) | 4 | \$12,500 | \$12,500 | \$9,375 | 10/10/2008 | |
| TRRA 2008-2(SA) | 5 | \$12,500 | \$12,500 | \$9,375 | 10/10/2008 | |
| TRRA 2008-3(SA) | 4 | \$15,000 | \$15,000 | \$11,250 | 10/10/2008 | |
| TRSZ 2009-1(FCS) | 1 | \$2,500 | \$2,500 | \$2,500 | 03/12/2009 | |
| TSRR 2008-1(TS) | 1 | \$2,500 | \$2,500 | \$2,000 | 11/24/2008 | |
| TXGN 2006-1(TS) | 5 | \$6,500 | \$6,500 | \$5,200 | 12/18/2008 | |
| TXGN 2009-1(SA) | 1 | \$5,000 | \$5,000 | \$3,000 | 06/26/2009 | |
| TXNW 2007-1(LI) | 2 | \$5,000 | \$5,000 | \$3,500 | 01/21/2009 | |
| TXNW 2009-1(ROP) | 1 | \$5,000 | \$5,000 | \$3,500 | 06/25/2009 | |
| TXPF 2008-1(GC) | 1 | \$2,500 | \$2,500 | \$2,000 | 07/01/2009 | |
| TXPF 2008-2(GC) | 6 | \$15,000 | \$15,000 | \$12,000 | 07/01/2009 | |
| TXPF 2008-3(GC) | 5 | \$12,500 | \$12,500 | \$10,000 | 07/01/2009 | |
| TXPF 2008-4(GC) | 10 | \$25,000 | \$25,000 | \$20,000 | 07/01/2009 | |
| TXPF 2008-5(GC) | 9 | \$22,500 | \$22,500 | \$18,000 | 07/01/2009 | |
| TXPF 2008-6(GC) | 10 | \$25,000 | \$25,000 | \$20,000 | 07/01/2009 | |
| TXPF 2008-7(GC) | 4 | \$20,000 | \$20,000 | \$16,000 | 07/01/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|--|
| TXPF 2009-1(GC) | 1 | \$5,000 | \$5,000 | \$4,000 | 07/01/2009 | |
| TYBR 2008-1(HMT) | 3 | \$6,000 | \$6,000 | \$4,800 | 01/22/2009 | |
| UP 2006-516(FCS) | 1 | \$2,500 | \$2,500 | \$1,100 | 09/30/2009 | |
| UP 2006-582(SA) | 1 | \$2,500 | \$2,500 | \$1,625 | 09/30/2009 | |
| UP 2007-117(HMT) | 1 | \$5,000 | \$5,000 | \$3,000 | 09/30/2009 | |
| UP 2007-131(RW) | 11 | \$25,000 | \$17,000 | \$12,000 | 09/30/2009 | Terminated Violation(s) #: 1, 3 |
| UP 2007-173(FCS) | 1 | \$2,500 | \$2,500 | \$1,900 | 09/30/2009 | |
| UP 2007-18(GC) | 1 | \$5,000 | \$5,000 | \$2,500 | 09/30/2009 | |
| UP 2007-246(HMT) | 8 | \$54,500 | \$54,500 | \$28,000 | 09/30/2009 | |
| UP 2007-295(FCS) | 1 | \$5,000 | \$5,000 | \$2,700 | 09/30/2009 | |
| UP 2007-297(TS) | 6 | \$7,500 | \$7,500 | \$5,875 | 09/30/2009 | |
| UP 2007-338(RW) | 7 | \$29,000 | \$29,000 | \$16,700 | 09/30/2009 | |
| UP 2007-362(HMT) | 4 | \$15,500 | \$15,500 | \$9,900 | 09/30/2009 | |
| UP 2007-388(HMT) | 1 | \$9,000 | \$9,000 | \$7,000 | 09/30/2009 | |
| UP 2007-402(FCS) | 1 | \$2,500 | \$2,500 | \$1,700 | 09/30/2009 | |
| UP 2007-405(SI) | 5 | \$15,000 | \$15,000 | \$10,000 | 09/30/2009 | |
| UP 2007-411(RW) | 6 | \$10,500 | \$10,500 | \$7,245 | 09/30/2009 | |
| UP 2007-416(HMT) | 3 | \$10,000 | \$10,000 | \$8,000 | 09/30/2009 | |
| UP 2007-445(TS) | 6 | \$7,500 | \$7,500 | \$4,750 | 09/30/2009 | |
| UP 2007-451(FCS) | 1 | \$2,500 | \$2,500 | \$1,700 | 09/30/2009 | |
| UP 2007-454(SA) | 1 | \$5,000 | \$5,000 | \$3,600 | 09/30/2009 | |
| UP 2007-460(LI) | 5 | \$17,500 | \$17,500 | \$10,675 | 09/30/2009 | |
| UP 2007-465(SA) | 1 | \$2,500 | \$2,500 | \$2,000 | 09/30/2009 | |
| UP 2007-467(AD) | 1 | \$2,500 | \$2,500 | \$1,250 | 09/30/2009 | |
| UP 2007-468(LI) | 2 | \$6,500 | \$6,500 | \$4,550 | 09/30/2009 | |
| UP 2007-469(LI) | 7 | \$18,500 | \$18,500 | \$12,025 | 09/30/2009 | |
| UP 2007-470(SI) | 3 | \$12,500 | \$12,500 | \$7,500 | 09/30/2009 | |
| UP 2007-471(SI) | 2 | \$3,500 | \$3,500 | \$2,250 | 09/30/2009 | |
| UP 2007-472(ROR) | 2 | \$10,000 | \$10,000 | \$6,400 | 09/30/2009 | |
| UP 2007-473(FCS) | 2 | \$7,500 | \$7,500 | \$4,600 | 09/30/2009 | |
| UP 2007-474(SI) | 2 | \$6,000 | \$6,000 | \$4,700 | 09/30/2009 | |
| UP 2007-475(GC) | 3 | \$15,000 | \$15,000 | \$12,000 | 09/30/2009 | |
| UP 2007-476(SI) | 1 | \$1,000 | \$1,000 | \$700 | 09/30/2009 | |
| UP 2007-477(FCS) | 5 | \$20,000 | \$20,000 | \$13,550 | 09/30/2009 | |
| UP 2007-478(ROP) | 1 | \$5,000 | \$5,000 | \$3,500 | 09/30/2009 | |
| UP 2007-479(FCS) | 3 | \$7,500 | \$7,500 | \$5,300 | 09/30/2009 | |
| UP 2007-53(HMT) | 1 | \$1,000 | \$1,000 | \$1,000 | 09/30/2009 | |
| UP 2007-66(SA) | 1 | \$5,000 | \$5,000 | \$3,700 | 09/30/2009 | |
| UP 2008-10(HMT) | 1 | \$5,000 | \$5,000 | \$3,000 | 09/30/2009 | |
| UP 2008-100(LI) | 6 | \$13,000 | \$13,000 | \$8,450 | 09/30/2009 | |
| UP 2008-101(GC) | 2 | \$10,000 | \$10,000 | \$7,000 | 09/30/2009 | |
| UP 2008-102(SI) | 1 | \$5,000 | \$5,000 | \$3,000 | 09/30/2009 | |
| UP 2008-103(FCS) | 4 | \$17,500 | \$17,500 | \$10,500 | 09/30/2009 | |
| UP 2008-104(TS) | 2 | \$10,000 | \$10,000 | \$8,000 | 09/30/2009 | |
| UP 2008-105(TS) | 1 | \$1,000 | \$1,000 | \$700 | 09/30/2009 | |
| UP 2008-106(SA) | 5 | \$12,500 | \$12,500 | \$8,000 | 09/30/2009 | |
| UP 2008-107(SA) | 5 | \$12,500 | \$12,500 | \$9,300 | 09/30/2009 | |
| UP 2008-108(SA) | 5 | \$17,500 | \$17,500 | \$11,000 | 09/30/2009 | |
| UP 2008-109(SA) | 5 | \$20,000 | \$17,500 | \$12,950 | 09/30/2009 | Partially Terminated Violation #: 4 |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|--|
| UP 2008-11(TS) | 6 | \$26,000 | \$26,000 | \$15,000 | 09/30/2009 | |
| UP 2008-110(SA) | 5 | \$12,500 | \$12,500 | \$8,000 | 09/30/2009 | |
| UP 2008-111(SA) | 4 | \$15,000 | \$15,000 | \$10,000 | 09/30/2009 | |
| UP 2008-112(SA) | 4 | \$20,000 | \$20,000 | \$12,600 | 09/30/2009 | |
| UP 2008-113(LI) | 2 | \$5,000 | \$5,000 | \$3,700 | 09/30/2009 | |
| UP 2008-114(SA) | 4 | \$12,500 | \$12,500 | \$8,900 | 09/30/2009 | |
| UP 2008-115(SA) | 5 | \$12,500 | \$12,500 | \$8,000 | 09/30/2009 | |
| UP 2008-116(SA) | 4 | \$15,000 | \$15,000 | \$9,600 | 09/30/2009 | |
| UP 2008-117(HMT) | 1 | \$2,500 | \$2,500 | \$1,600 | 09/30/2009 | |
| UP 2008-118(TS) | 2 | \$6,000 | \$6,000 | \$4,300 | 09/30/2009 | |
| UP 2008-119(TS) | 2 | \$3,500 | \$3,500 | \$2,000 | 09/30/2009 | |
| UP 2008-12(TS) | 18 | \$47,500 | \$47,500 | \$29,000 | 09/30/2009 | |
| UP 2008-120(TS) | 16 | \$40,000 | \$40,000 | \$24,000 | 09/30/2009 | |
| UP 2008-121(TS) | 1 | \$5,000 | \$5,000 | \$3,600 | 09/30/2009 | |
| UP 2008-122(HSR) | 6 | \$6,000 | \$6,000 | \$3,900 | 09/30/2009 | |
| UP 2008-123(FCS) | 9 | \$30,000 | \$30,000 | \$21,600 | 09/30/2009 | |
| UP 2008-124(SA) | 5 | \$15,000 | \$15,000 | \$13,125 | 09/30/2009 | |
| UP 2008-125(SA) | 5 | \$15,000 | \$15,000 | \$11,000 | 09/30/2009 | |
| UP 2008-126(SA) | 4 | \$10,000 | \$10,000 | \$8,000 | 09/30/2009 | |
| UP 2008-127(SA) | 4 | \$12,500 | \$10,000 | \$6,550 | 09/30/2009 | Partially Terminated Violation(s)#: 4 |
| UP 2008-128(SA) | 2 | \$5,000 | \$5,000 | \$3,250 | 09/30/2009 | |
| UP 2008-129(SA) | 3 | \$10,000 | \$10,000 | \$6,500 | 09/30/2009 | |
| UP 2008-130(SI) | 1 | \$5,000 | \$5,000 | \$3,800 | 09/30/2009 | |
| UP 2008-131(ROP) | 1 | \$5,000 | \$5,000 | \$3,500 | 09/30/2009 | |
| UP 2008-132(HSR) | 1 | \$1,000 | \$1,000 | \$550 | 09/30/2009 | |
| UP 2008-134(TS) | 2 | \$6,000 | \$6,000 | \$3,300 | 09/30/2009 | |
| UP 2008-135(HMT) | 2 | \$7,000 | \$7,000 | \$5,600 | 09/30/2009 | |
| UP 2008-136(HMT) | 1 | \$5,000 | \$5,000 | \$3,500 | 09/30/2009 | |
| UP 2008-137(HMT) | 1 | \$2,000 | \$2,000 | \$1,600 | 09/30/2009 | |
| UP 2008-138(HMT) | 1 | \$2,000 | \$2,000 | \$1,600 | 09/30/2009 | |
| UP 2008-139(SA) | 3 | \$15,000 | \$12,500 | \$8,000 | 09/30/2009 | Partial Terminated Violation#: 3 |
| UP 2008-140(SA) | 3 | \$15,000 | \$10,000 | \$7,500 | 09/30/2009 | Partially Terminated Violation(s)#: 1, 3 |
| UP 2008-141(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 09/30/2009 | |
| UP 2008-142(TS) | 2 | \$10,000 | \$10,000 | \$6,000 | 09/30/2009 | |
| UP 2008-143(TS) | 2 | \$10,000 | \$10,000 | \$6,500 | 09/30/2009 | |
| UP 2008-144(TS) | 2 | \$7,500 | \$7,500 | \$6,000 | 09/30/2009 | |
| UP 2008-145(TS) | 1 | \$5,000 | \$5,000 | \$3,250 | 09/30/2009 | |
| UP 2008-146(FCS) | 2 | \$5,000 | \$5,000 | \$4,000 | 09/30/2009 | |
| UP 2008-147(SA) | 5 | \$15,000 | \$15,000 | \$11,600 | 09/30/2009 | |
| UP 2008-148(SA) | 4 | \$17,500 | \$12,500 | \$9,500 | 09/30/2009 | Partially Terminated Violation(s)#: 2, 3 |
| UP 2008-149(SA) | 5 | \$22,500 | \$15,000 | \$11,800 | 09/30/2009 | Partially Terminated Violation(s)#: 2, 3, 5 |
| UP 2008-15(HMT) | 1 | \$5,000 | \$5,000 | \$4,100 | 09/30/2009 | |
| UP 2008-150(SA) | 4 | \$17,500 | \$10,000 | \$6,700 | 09/30/2009 | Partially Terminated Violation(s)#: 1, 2, 3 |
| UP 2008-151(RSP) | 1 | \$1,000 | \$1,000 | \$700 | 09/30/2009 | |
| UP 2008-152(ROR) | 1 | \$5,000 | \$5,000 | \$3,400 | 09/30/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|------------------|--------------------------|-------------|-------------|--------------------------|------------------------|--|
| UP 2008-153(AR) | 1 | \$2,500 | \$2,500 | \$1,000 | 09/30/2009 | |
| UP 2008-154(SA) | 4 | \$17,500 | \$17,500 | \$13,100 | 09/30/2009 | |
| UP 2008-155(SA) | 4 | \$20,000 | \$17,500 | \$12,500 | 09/30/2009 | Violation # 1 - Reduced PRCA to \$2,500. |
| UP 2008-156(SA) | 4 | \$17,500 | \$17,500 | \$14,000 | 09/30/2009 | |
| UP 2008-157(SA) | 5 | \$22,500 | \$22,500 | \$16,700 | 09/30/2009 | |
| UP 2008-158(SA) | 4 | \$10,000 | \$10,000 | \$6,700 | 09/30/2009 | |
| UP 2008-159(SA) | 4 | \$10,000 | \$10,000 | \$7,250 | 09/30/2009 | |
| UP 2008-16(HMT) | 1 | \$7,500 | \$7,500 | \$6,000 | 09/30/2009 | |
| UP 2008-160(AR) | 3 | \$7,500 | \$2,500 | \$1,200 | 09/30/2009 | Terminated Violation(s)#: 1, 2 |
| UP 2008-161(SA) | 2 | \$7,500 | \$7,500 | \$4,750 | 09/30/2009 | |
| UP 2008-162(SI) | 3 | \$3,000 | \$3,000 | \$2,100 | 09/30/2009 | |
| UP 2008-163(FCS) | 2 | \$7,500 | \$7,500 | \$4,300 | 09/30/2009 | |
| UP 2008-164(SI) | 23 | \$60,000 | \$60,000 | \$33,000 | 09/30/2009 | |
| UP 2008-165(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 09/30/2009 | |
| UP 2008-166(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 09/30/2009 | |
| UP 2008-167(TS) | 3 | \$15,000 | \$15,000 | \$12,000 | 09/30/2009 | |
| UP 2008-168(LI) | 5 | \$17,500 | \$12,500 | \$8,750 | 09/30/2009 | Terminated Violation(s)#: 2 |
| UP 2008-169(LI) | 10 | \$20,000 | \$20,000 | \$13,000 | 09/30/2009 | |
| UP 2008-170(AR) | 1 | \$2,500 | \$2,500 | \$1,500 | 09/30/2009 | |
| UP 2008-171(HSR) | 2 | \$2,000 | \$2,000 | \$1,450 | 09/30/2009 | |
| UP 2008-172(SA) | 5 | \$20,000 | \$20,000 | \$14,900 | 09/30/2009 | |
| UP 2008-173(SA) | 4 | \$15,000 | \$15,000 | \$9,900 | 09/30/2009 | |
| UP 2008-174(SA) | 4 | \$15,000 | \$12,500 | \$9,700 | 09/30/2009 | Partially Terminated Violation#: 3 |
| UP 2008-175(SA) | 4 | \$15,000 | \$15,000 | \$10,000 | 09/30/2009 | |
| UP 2008-176(SA) | 5 | \$22,500 | \$20,000 | \$12,750 | 09/30/2009 | Partially Terminated Violation#: 4 |
| UP 2008-177(FCS) | 7 | \$20,000 | \$20,000 | \$14,900 | 09/30/2009 | |
| UP 2008-178(FCS) | 1 | \$2,500 | \$2,500 | \$1,500 | 09/30/2009 | |
| UP 2008-179(RW) | 2 | \$2,000 | \$2,000 | \$1,400 | 09/30/2009 | |
| UP 2008-180(LI) | 6 | \$14,000 | \$14,000 | \$9,250 | 09/30/2009 | |
| UP 2008-181(LI) | 5 | \$25,000 | \$25,000 | \$15,000 | 09/30/2009 | |
| UP 2008-182(LI) | 4 | \$14,000 | \$14,000 | \$9,500 | 09/30/2009 | |
| UP 2008-183(HS) | 1 | \$1,000 | \$1,000 | \$750 | 09/30/2009 | |
| UP 2008-185(LI) | 4 | \$11,500 | \$11,500 | \$8,400 | 09/30/2009 | |
| UP 2008-186(HSR) | 1 | \$1,000 | \$1,000 | \$650 | 09/30/2009 | |
| UP 2008-187(AR) | 1 | \$2,500 | \$2,500 | \$700 | 09/30/2009 | |
| UP 2008-188(LI) | 6 | \$16,000 | \$16,000 | \$11,200 | 09/30/2009 | |
| UP 2008-189(HMT) | 2 | \$4,000 | \$4,000 | \$3,000 | 09/30/2009 | |
| UP 2008-190(SI) | 6 | \$7,500 | \$7,500 | \$5,750 | 09/30/2009 | |
| UP 2008-191(SA) | 1 | \$2,500 | \$2,500 | \$1,600 | 09/30/2009 | |
| UP 2008-192(TS) | 3 | \$7,500 | \$7,500 | \$5,400 | 09/30/2009 | |
| UP 2008-193(SA) | 1 | \$5,000 | \$5,000 | \$3,450 | 09/30/2009 | |
| UP 2008-194(TS) | 3 | \$12,500 | \$12,500 | \$10,000 | 09/30/2009 | |
| UP 2008-195(SA) | 4 | \$17,500 | \$17,500 | \$11,900 | 09/30/2009 | |
| UP 2008-196(SA) | 5 | \$12,500 | \$12,500 | \$7,925 | 09/30/2009 | |
| UP 2008-197(FCS) | 2 | \$5,000 | \$5,000 | \$4,000 | 09/30/2009 | |
| UP 2008-198(ROR) | 2 | \$10,000 | \$10,000 | \$5,500 | 09/30/2009 | |
| UP 2008-199(TS) | 5 | \$17,500 | \$17,500 | \$11,000 | 09/30/2009 | |

**Federal Railroad Administration
Safety Cases Closed in FY 2009**

| FRA No. | No. of Violations | POCA | PRCA | Settlement Amount | Settlement Date | Comments |
|------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|-----------------------------|
| UP 2008-20(TS) | 2 | \$3,500 | \$3,500 | \$2,550 | 09/30/2009 | |
| UP 2008-200(TS) | 6 | \$21,000 | \$21,000 | \$15,000 | 09/30/2009 | |
| UP 2008-201(FCS) | 1 | \$5,000 | \$5,000 | \$3,800 | 09/30/2009 | |
| UP 2008-202(SA) | 7 | \$22,500 | \$22,500 | \$14,000 | 09/30/2009 | |
| UP 2008-203(LI) | 3 | \$6,000 | \$6,000 | \$3,700 | 09/30/2009 | |
| UP 2008-204(TS) | 6 | \$22,500 | \$22,500 | \$15,150 | 09/30/2009 | |
| UP 2008-205(TS) | 3 | \$8,500 | \$8,500 | \$5,350 | 09/30/2009 | |
| UP 2008-206(TS) | 4 | \$15,000 | \$15,000 | \$11,000 | 09/30/2009 | |
| UP 2008-207(SA) | 3 | \$15,000 | \$15,000 | \$11,275 | 09/30/2009 | |
| UP 2008-208(LI) | 10 | \$17,000 | \$17,000 | \$10,200 | 09/30/2009 | |
| UP 2008-209(SI) | 3 | \$6,000 | \$6,000 | \$3,750 | 09/30/2009 | |
| UP 2008-21(HMT) | 1 | \$5,000 | \$5,000 | \$3,900 | 09/30/2009 | |
| UP 2008-210(FCS) | 3 | \$12,500 | \$12,500 | \$7,700 | 09/30/2009 | |
| UP 2008-211(TS) | 1 | \$5,000 | \$5,000 | \$3,750 | 09/30/2009 | |
| UP 2008-212(HSR) | 1 | \$1,000 | \$1,000 | \$650 | 09/30/2009 | |
| UP 2008-213(AR) | 3 | \$7,500 | \$0 | \$0 | 09/30/2009 | Case Terminated. |
| UP 2008-214(ROR) | 3 | \$12,500 | \$12,500 | \$5,950 | 09/30/2009 | |
| UP 2008-215(SA) | 2 | \$7,500 | \$7,500 | \$5,700 | 09/30/2009 | |
| UP 2008-217(FCS) | 1 | \$2,500 | \$2,500 | \$2,000 | 09/30/2009 | |
| UP 2008-218(SA) | 4 | \$10,000 | \$10,000 | \$6,250 | 09/30/2009 | |
| UP 2008-219(SA) | 3 | \$7,500 | \$7,500 | \$4,690 | 09/30/2009 | |
| UP 2008-220(SA) | 5 | \$15,000 | \$15,000 | \$8,700 | 09/30/2009 | |
| UP 2008-221(SA) | 4 | \$10,000 | \$10,000 | \$7,000 | 09/30/2009 | |
| UP 2008-222(SI) | 1 | \$2,500 | \$2,500 | \$1,875 | 09/30/2009 | |
| UP 2008-223(SA) | 1 | \$2,500 | \$2,500 | \$2,000 | 09/30/2009 | |
| UP 2008-225(SA) | 4 | \$10,000 | \$10,000 | \$8,000 | 09/30/2009 | |
| UP 2008-226(SA) | 5 | \$20,000 | \$20,000 | \$12,800 | 09/30/2009 | |
| UP 2008-227(SA) | 4 | \$12,500 | \$12,500 | \$7,500 | 09/30/2009 | |
| UP 2008-228(LI) | 3 | \$10,000 | \$5,000 | \$3,600 | 09/30/2009 | Terminated Violation(s)#: 1 |
| UP 2008-229(TS) | 1 | \$1,000 | \$1,000 | \$700 | 09/30/2009 | |
| UP 2008-230(FCS) | 10 | \$35,000 | \$35,000 | \$24,050 | 09/30/2009 | |
| UP 2008-231(AR) | 3 | \$7,500 | \$7,500 | \$5,000 | 09/30/2009 | |
| UP 2008-232(LI) | 1 | \$2,500 | \$2,500 | \$2,000 | 09/30/2009 | |
| UP 2008-234(TS) | 2 | \$5,000 | \$5,000 | \$3,125 | 09/30/2009 | |
| UP 2008-235(TS) | 1 | \$2,500 | \$2,500 | \$1,750 | 09/30/2009 | |
| UP 2008-236(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 09/30/2009 | |
| UP 2008-237(SA) | 4 | \$12,500 | \$12,500 | \$7,000 | 09/30/2009 | |
| UP 2008-238(FCS) | 1 | \$2,500 | \$2,500 | \$1,800 | 09/30/2009 | |
| UP 2008-239(SI) | 1 | \$5,000 | \$5,000 | \$3,000 | 09/30/2009 | |
| UP 2008-24(GC) | 2 | \$10,000 | \$10,000 | \$5,000 | 09/30/2009 | |
| UP 2008-240(SA) | 1 | \$2,500 | \$2,500 | \$2,000 | 09/30/2009 | |
| UP 2008-243(TS) | 1 | \$5,000 | \$5,000 | \$4,000 | 09/30/2009 | |
| UP 2008-244(ROP) | 4 | \$17,000 | \$17,000 | \$9,520 | 09/30/2009 | |
| UP 2008-245(FCS) | 1 | \$2,500 | \$2,500 | \$1,700 | 09/30/2009 | |
| UP 2008-246(HMT) | 2 | \$14,000 | \$14,000 | \$11,000 | 09/30/2009 | |
| UP 2008-247(TS) | 3 | \$6,000 | \$6,000 | \$4,270 | 09/30/2009 | |
| UP 2008-248(SA) | 3 | \$12,500 | \$12,500 | \$7,700 | 09/30/2009 | |
| UP 2008-249(RW) | 1 | \$3,000 | \$3,000 | \$2,500 | 09/30/2009 | |
| UP 2008-250(LI) | 1 | \$2,500 | \$2,500 | \$2,000 | 09/30/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|------------------|--------------------------|-------------|-------------|--------------------------|------------------------|---|
| UP 2008-253(TS) | 2 | \$3,500 | \$3,500 | \$2,200 | 09/30/2009 | |
| UP 2008-255(TS) | 2 | \$8,000 | \$8,000 | \$5,150 | 09/30/2009 | |
| UP 2008-256(HMT) | 1 | \$5,000 | \$5,000 | \$3,000 | 09/30/2009 | |
| UP 2008-257(TS) | 1 | \$2,500 | \$2,500 | \$2,000 | 09/30/2009 | |
| UP 2008-258(FCS) | 2 | \$7,500 | \$7,500 | \$6,000 | 09/30/2009 | |
| UP 2008-259(FCS) | 1 | \$2,500 | \$2,500 | \$2,000 | 09/30/2009 | |
| UP 2008-26(LI) | 5 | \$15,000 | \$15,000 | \$12,000 | 09/30/2009 | |
| UP 2008-260(SA) | 5 | \$17,500 | \$17,500 | \$13,600 | 09/30/2009 | |
| UP 2008-261(SA) | 7 | \$30,000 | \$22,500 | \$17,600 | 09/30/2009 | Partially Terminated Violation(s)#: 1,2,7 |
| UP 2008-262(TS) | 1 | \$2,500 | \$2,500 | \$1,500 | 09/30/2009 | |
| UP 2008-263(FCS) | 6 | \$30,000 | \$30,000 | \$24,000 | 09/30/2009 | |
| UP 2008-264(FCS) | 3 | \$12,500 | \$12,500 | \$6,500 | 09/30/2009 | |
| UP 2008-265(TS) | 11 | \$11,000 | \$11,000 | \$6,600 | 09/30/2009 | |
| UP 2008-266(LI) | 5 | \$12,500 | \$12,500 | \$9,000 | 09/30/2009 | |
| UP 2008-267(LI) | 4 | \$11,500 | \$11,500 | \$6,800 | 09/30/2009 | |
| UP 2008-268(HSR) | 1 | \$1,000 | \$1,000 | \$850 | 09/30/2009 | |
| UP 2008-269(SA) | 5 | \$20,000 | \$20,000 | \$12,050 | 09/30/2009 | |
| UP 2008-270(SA) | 5 | \$17,500 | \$17,500 | \$12,750 | 09/30/2009 | |
| UP 2008-271(SA) | 5 | \$20,000 | \$20,000 | \$12,050 | 09/30/2009 | |
| UP 2008-272(SA) | 4 | \$20,000 | \$20,000 | \$15,000 | 09/30/2009 | |
| UP 2008-273(LI) | 1 | \$2,500 | \$2,500 | \$1,400 | 09/30/2009 | |
| UP 2008-274(AR) | 2 | \$5,000 | \$5,000 | \$2,000 | 09/30/2009 | |
| UP 2008-275(SA) | 5 | \$22,500 | \$15,000 | \$11,750 | 09/30/2009 | Partially Terminated Violation(s)#: 2, 3, 4 |
| UP 2008-276(SA) | 4 | \$20,000 | \$12,500 | \$8,000 | 09/30/2009 | Partially Terminated Violation(s)#: 1, 2, 3 |
| UP 2008-277(SA) | 4 | \$17,500 | \$17,500 | \$10,200 | 09/30/2009 | |
| UP 2008-278(SA) | 4 | \$17,500 | \$17,500 | \$11,400 | 09/30/2009 | |
| UP 2008-279(HMT) | 1 | \$2,000 | \$2,000 | \$1,800 | 09/30/2009 | |
| UP 2008-28(LI) | 7 | \$15,500 | \$15,500 | \$11,000 | 09/30/2009 | |
| UP 2008-280(HMT) | 2 | \$7,500 | \$7,500 | \$6,000 | 09/30/2009 | |
| UP 2008-281(SI) | 3 | \$7,500 | \$7,500 | \$5,625 | 09/30/2009 | |
| UP 2008-282(GC) | 2 | \$7,500 | \$7,500 | \$5,100 | 09/30/2009 | |
| UP 2008-283(FCS) | 1 | \$5,000 | \$5,000 | \$3,700 | 09/30/2009 | |
| UP 2008-284(AR) | 1 | \$2,500 | \$2,500 | \$1,000 | 09/30/2009 | |
| UP 2008-285(AR) | 1 | \$2,500 | \$2,500 | \$1,000 | 09/30/2009 | |
| UP 2008-286(ROP) | 1 | \$5,000 | \$5,000 | \$2,500 | 09/30/2009 | |
| UP 2008-287(SA) | 1 | \$2,500 | \$2,500 | \$1,650 | 09/30/2009 | |
| UP 2008-288(HMT) | 4 | \$28,500 | \$26,500 | \$16,700 | 09/30/2009 | Partially Terminated Violation#: 3 |
| UP 2008-289(FCS) | 1 | \$5,000 | \$5,000 | \$3,600 | 09/30/2009 | |
| UP 2008-29(AD) | 4 | \$20,000 | \$20,000 | \$5,500 | 09/30/2009 | Terminated Violation(s)#: 1 |
| UP 2008-290(SI) | 1 | \$1,000 | \$1,000 | \$800 | 09/30/2009 | |
| UP 2008-291(SA) | 4 | \$15,000 | \$15,000 | \$9,400 | 09/30/2009 | |
| UP 2008-292(SA) | 4 | \$17,500 | \$15,000 | \$9,300 | 09/30/2009 | Partially Terminated Violation(s)#: 3 |
| UP 2008-293(SA) | 4 | \$20,000 | \$20,000 | \$12,800 | 09/30/2009 | |
| UP 2008-294(SA) | 4 | \$20,000 | \$20,000 | \$13,500 | 09/30/2009 | |
| UP 2008-295(FCS) | 1 | \$2,500 | \$2,500 | \$2,050 | 09/30/2009 | |
| UP 2008-296(GS) | 1 | \$2,500 | \$2,500 | \$1,875 | 09/30/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|--|
| UP 2008-297(SA) | 3 | \$7,500 | \$7,500 | \$7,500 | 09/30/2009 | |
| UP 2008-298(SA) | 3 | \$10,000 | \$10,000 | \$7,250 | 09/30/2009 | |
| UP 2008-299(RSP) | 1 | \$5,000 | \$5,000 | \$4,500 | 09/30/2009 | |
| UP 2008-30(AD) | 4 | \$20,000 | \$20,000 | \$5,800 | 09/30/2009 | Terminated Violation(s)#: 4 |
| UP 2008-300(TS) | 1 | \$5,000 | \$5,000 | \$4,000 | 09/30/2009 | |
| UP 2008-301(AR) | 8 | \$20,000 | \$17,500 | \$7,000 | 09/30/2009 | Terminated Violation(s)#: 1 |
| UP 2008-302(HSR) | 1 | \$1,000 | \$1,000 | \$650 | 09/30/2009 | |
| UP 2008-303(SA) | 1 | \$2,500 | \$2,500 | \$2,000 | 09/30/2009 | |
| UP 2008-304(HMT) | 2 | \$13,500 | \$9,500 | \$6,600 | 09/30/2009 | Partially Terminated Violation(s)# 1. |
| UP 2008-305(AR) | 1 | \$2,500 | \$2,500 | \$1,000 | 09/30/2009 | |
| UP 2008-306(HMT) | 2 | \$4,000 | \$4,000 | \$3,000 | 09/30/2009 | |
| UP 2008-307(HMT) | 1 | \$2,000 | \$2,000 | \$1,800 | 09/30/2009 | |
| UP 2008-308(SA) | 6 | \$25,000 | \$22,500 | \$15,900 | 09/30/2009 | Partially Terminated Violation(s)#: 3 |
| UP 2008-309(LI) | 5 | \$15,000 | \$15,000 | \$8,700 | 09/30/2009 | |
| UP 2008-31(SA) | 6 | \$22,500 | \$22,500 | \$15,500 | 09/30/2009 | |
| UP 2008-310(ROP) | 1 | \$5,000 | \$5,000 | \$3,500 | 09/30/2009 | |
| UP 2008-311(FCS) | 4 | \$17,500 | \$17,500 | \$12,000 | 09/30/2009 | |
| UP 2008-312(SA) | 4 | \$15,000 | \$15,000 | \$11,600 | 09/30/2009 | |
| UP 2008-313(SA) | 4 | \$12,500 | \$12,500 | \$9,650 | 09/30/2009 | |
| UP 2008-314(SA) | 5 | \$20,000 | \$20,000 | \$13,800 | 09/30/2009 | |
| UP 2008-315(SA) | 5 | \$12,500 | \$12,500 | \$8,750 | 09/30/2009 | |
| UP 2008-316(SA) | 5 | \$15,000 | \$15,000 | \$11,200 | 09/30/2009 | |
| UP 2008-317(SA) | 5 | \$17,500 | \$17,500 | \$10,650 | 09/30/2009 | |
| UP 2008-318(SA) | 5 | \$15,000 | \$15,000 | \$10,750 | 09/30/2009 | |
| UP 2008-319(LI) | 4 | \$12,500 | \$12,500 | \$8,150 | 09/30/2009 | |
| UP 2008-32(SA) | 7 | \$22,500 | \$22,500 | \$14,750 | 09/30/2009 | |
| UP 2008-320(RW) | 1 | \$1,000 | \$1,000 | \$700 | 09/30/2009 | |
| UP 2008-321(TS) | 2 | \$10,000 | \$10,000 | \$7,200 | 09/30/2009 | |
| UP 2008-322(RSP) | 1 | \$5,000 | \$5,000 | \$4,500 | 09/30/2009 | |
| UP 2008-325(FCS) | 1 | \$2,500 | \$2,500 | \$1,400 | 09/30/2009 | |
| UP 2008-326(AR) | 1 | \$2,500 | \$2,500 | \$1,000 | 09/30/2009 | |
| UP 2008-327(LI) | 2 | \$4,000 | \$4,000 | \$2,950 | 09/30/2009 | |
| UP 2008-328(SA) | 1 | \$2,500 | \$2,500 | \$1,850 | 09/30/2009 | |
| UP 2008-329(SI) | 2 | \$3,500 | \$3,500 | \$2,500 | 09/30/2009 | |
| UP 2008-33(TS) | 3 | \$12,500 | \$12,500 | \$8,350 | 09/30/2009 | |
| UP 2008-330(GC) | 5 | \$14,500 | \$14,500 | \$11,150 | 09/30/2009 | |
| UP 2008-331(TS) | 10 | \$61,000 | \$61,000 | \$36,900 | 09/30/2009 | |
| UP 2008-333(TS) | 18 | \$52,500 | \$52,500 | \$32,300 | 09/30/2009 | |
| UP 2008-334(RSP) | 1 | \$5,000 | \$5,000 | \$5,000 | 09/30/2009 | |
| UP 2008-335(HMT) | 1 | \$2,000 | \$2,000 | \$1,800 | 09/30/2009 | |
| UP 2008-336(HMT) | 1 | \$2,000 | \$2,000 | \$1,800 | 09/30/2009 | |
| UP 2008-337(TS) | 2 | \$7,500 | \$7,500 | \$5,500 | 09/30/2009 | |
| UP 2008-338(TS) | 1 | \$5,000 | \$5,000 | \$3,400 | 09/30/2009 | |
| UP 2008-339(HS) | 4 | \$4,000 | \$4,000 | \$3,000 | 09/30/2009 | |
| UP 2008-34(TS) | 2 | \$6,000 | \$6,000 | \$4,000 | 09/30/2009 | |
| UP 2008-340(FCS) | 2 | \$7,500 | \$7,500 | \$5,400 | 09/30/2009 | |
| UP 2008-341(SA) | 4 | \$12,500 | \$12,500 | \$9,400 | 09/30/2009 | |
| UP 2008-342(SA) | 4 | \$10,000 | \$10,000 | \$7,800 | 09/30/2009 | |

**Federal Railroad Administration
Safety Cases Closed in FY 2009**

| FRA No. | No. of Violations | POCA | PRCA | Settlement Amount | Settlement Date | Comments |
|------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|-----------------------------|
| UP 2008-343(BW) | 1 | \$5,000 | \$5,000 | \$3,900 | 09/30/2009 | |
| UP 2008-344(EP) | 3 | \$3,000 | \$3,000 | \$2,100 | 09/30/2009 | |
| UP 2008-345(TS) | 2 | \$5,000 | \$5,000 | \$3,625 | 09/30/2009 | |
| UP 2008-346(TS) | 3 | \$10,000 | \$10,000 | \$6,700 | 09/30/2009 | |
| UP 2008-347(SA) | 2 | \$5,000 | \$5,000 | \$3,400 | 09/30/2009 | |
| UP 2008-348(ROP) | 1 | \$2,500 | \$2,500 | \$1,625 | 09/30/2009 | |
| UP 2008-349(FCS) | 2 | \$5,000 | \$5,000 | \$4,000 | 09/30/2009 | |
| UP 2008-35(TS) | 3 | \$15,000 | \$15,000 | \$11,000 | 09/30/2009 | |
| UP 2008-350(SA) | 3 | \$10,000 | \$10,000 | \$6,700 | 09/30/2009 | |
| UP 2008-351(SA) | 3 | \$7,500 | \$7,500 | \$6,000 | 09/30/2009 | |
| UP 2008-352(SA) | 5 | \$15,000 | \$15,000 | \$11,950 | 09/30/2009 | |
| UP 2008-353(SA) | 5 | \$12,500 | \$12,500 | \$8,400 | 09/30/2009 | |
| UP 2008-354(SA) | 5 | \$17,500 | \$17,500 | \$12,000 | 09/30/2009 | |
| UP 2008-355(LI) | 2 | \$5,000 | \$5,000 | \$3,500 | 09/30/2009 | |
| UP 2008-356(TS) | 2 | \$5,000 | \$5,000 | \$3,200 | 09/30/2009 | |
| UP 2008-357(TS) | 9 | \$23,500 | \$23,500 | \$17,050 | 09/30/2009 | |
| UP 2008-358(TS) | 3 | \$6,000 | \$6,000 | \$3,900 | 09/30/2009 | |
| UP 2008-359(TS) | 2 | \$7,500 | \$7,500 | \$5,500 | 09/30/2009 | |
| UP 2008-36(RSP) | 1 | \$5,000 | \$5,000 | \$2,150 | 09/30/2009 | |
| UP 2008-360(HMT) | 1 | \$5,000 | \$5,000 | \$3,200 | 09/30/2009 | |
| UP 2008-362(HMT) | 1 | \$10,000 | \$10,000 | \$7,000 | 09/30/2009 | |
| UP 2008-363(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 09/30/2009 | |
| UP 2008-364(SA) | 1 | \$5,000 | \$5,000 | \$3,750 | 09/30/2009 | |
| UP 2008-365(SA) | 4 | \$17,500 | \$17,500 | \$12,625 | 09/30/2009 | |
| UP 2008-366(TS) | 2 | \$7,500 | \$7,500 | \$4,800 | 09/30/2009 | |
| UP 2008-367(FCS) | 1 | \$2,500 | \$2,500 | \$1,600 | 09/30/2009 | |
| UP 2008-368(SI) | 1 | \$2,500 | \$2,500 | \$1,800 | 09/30/2009 | |
| UP 2008-369(SA) | 3 | \$15,000 | \$15,000 | \$11,250 | 09/30/2009 | |
| UP 2008-37(TS) | 2 | \$3,500 | \$3,500 | \$2,800 | 09/30/2009 | |
| UP 2008-371(FCS) | 1 | \$5,000 | \$5,000 | \$2,750 | 09/30/2009 | |
| UP 2008-372(SA) | 2 | \$5,000 | \$2,500 | \$2,000 | 09/30/2009 | Terminated Violation(s)#: 1 |
| UP 2008-373(SA) | 2 | \$5,000 | \$5,000 | \$3,500 | 09/30/2009 | |
| UP 2008-374(FCS) | 1 | \$2,500 | \$2,500 | \$2,000 | 09/30/2009 | |
| UP 2008-375(SA) | 2 | \$10,000 | \$10,000 | \$7,700 | 09/30/2009 | |
| UP 2008-376(SA) | 5 | \$15,000 | \$15,000 | \$11,400 | 09/30/2009 | |
| UP 2008-377(LI) | 3 | \$4,500 | \$4,500 | \$3,500 | 09/30/2009 | |
| UP 2008-378(LI) | 5 | \$11,500 | \$11,500 | \$8,200 | 09/30/2009 | |
| UP 2008-379(LI) | 1 | \$2,500 | \$2,500 | \$1,750 | 09/30/2009 | |
| UP 2008-38(TS) | 1 | \$2,500 | \$2,500 | \$1,500 | 09/30/2009 | |
| UP 2008-380(AD) | 2 | \$7,500 | \$7,500 | \$4,200 | 09/30/2009 | |
| UP 2008-381(HMT) | 1 | \$2,000 | \$2,000 | \$1,600 | 09/30/2009 | |
| UP 2008-382(GC) | 3 | \$15,000 | \$15,000 | \$12,000 | 09/30/2009 | |
| UP 2008-383(SA) | 6 | \$25,000 | \$25,000 | \$15,800 | 09/30/2009 | |
| UP 2008-384(SA) | 4 | \$15,000 | \$15,000 | \$9,900 | 09/30/2009 | |
| UP 2008-385(SA) | 4 | \$18,500 | \$18,500 | \$10,300 | 09/30/2009 | |
| UP 2008-386(SA) | 6 | \$25,000 | \$25,000 | \$15,900 | 09/30/2009 | |
| UP 2008-387(FCS) | 5 | \$22,500 | \$22,500 | \$13,500 | 09/30/2009 | |
| UP 2008-388(FCS) | 5 | \$15,000 | \$15,000 | \$10,300 | 09/30/2009 | |
| UP 2008-389(SA) | 2 | \$7,500 | \$7,500 | \$6,000 | 09/30/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|-----------------------------|
| UP 2008-39(SA) | 8 | \$35,000 | \$30,000 | \$22,950 | 09/30/2009 | Terminated Violation(s)#: 3 |
| UP 2008-390(SI) | 13 | \$14,500 | \$14,500 | \$10,100 | 09/30/2009 | |
| UP 2008-391(SI) | 28 | \$28,000 | \$28,000 | \$19,600 | 09/30/2009 | |
| UP 2008-392(SI) | 1 | \$1,000 | \$1,000 | \$800 | 09/30/2009 | |
| UP 2008-393(SA) | 5 | \$22,500 | \$22,500 | \$13,950 | 09/30/2009 | |
| UP 2008-394(TS) | 1 | \$5,000 | \$5,000 | \$3,700 | 09/30/2009 | Terminated Violation(s)#: 1 |
| UP 2008-395(HMT) | 2 | \$15,000 | \$15,000 | \$11,000 | 09/30/2009 | |
| UP 2008-396(GC) | 4 | \$16,000 | \$11,000 | \$5,500 | 09/30/2009 | |
| UP 2008-397(SA) | 5 | \$12,500 | \$12,500 | \$9,000 | 09/30/2009 | |
| UP 2008-398(FCS) | 6 | \$22,500 | \$22,500 | \$12,900 | 09/30/2009 | |
| UP 2008-399(SA) | 5 | \$20,000 | \$20,000 | \$13,500 | 09/30/2009 | |
| UP 2008-40(SA) | 8 | \$32,500 | \$32,500 | \$21,800 | 09/30/2009 | |
| UP 2008-400(SA) | 5 | \$15,000 | \$15,000 | \$10,875 | 09/30/2009 | |
| UP 2008-401(SA) | 5 | \$15,000 | \$15,000 | \$10,875 | 09/30/2009 | |
| UP 2008-402(SA) | 5 | \$22,500 | \$22,500 | \$15,400 | 09/30/2009 | |
| UP 2008-403(SA) | 5 | \$12,500 | \$12,500 | \$9,800 | 09/30/2009 | |
| UP 2008-404(SA) | 5 | \$12,500 | \$12,500 | \$9,000 | 09/30/2009 | |
| UP 2008-405(FCS) | 1 | \$5,000 | \$5,000 | \$2,700 | 09/30/2009 | |
| UP 2008-406(LI) | 4 | \$11,500 | \$11,500 | \$7,700 | 09/30/2009 | |
| UP 2008-407(RW) | 1 | \$2,000 | \$2,000 | \$1,500 | 09/30/2009 | |
| UP 2008-409(TS) | 4 | \$8,000 | \$8,000 | \$4,800 | 09/30/2009 | |
| UP 2008-41(SA) | 9 | \$37,500 | \$37,500 | \$26,700 | 09/30/2009 | |
| UP 2008-410(SA) | 5 | \$17,500 | \$17,500 | \$13,100 | 09/30/2009 | |
| UP 2008-411(FCS) | 4 | \$10,000 | \$10,000 | \$8,000 | 09/30/2009 | |
| UP 2008-412(SA) | 5 | \$20,000 | \$20,000 | \$16,000 | 09/30/2009 | |
| UP 2008-413(SA) | 5 | \$22,500 | \$22,500 | \$18,000 | 09/30/2009 | |
| UP 2008-414(TS) | 1 | \$5,000 | \$5,000 | \$2,500 | 09/30/2009 | |
| UP 2008-415(TS) | 1 | \$2,500 | \$2,500 | \$1,625 | 09/30/2009 | |
| UP 2008-416(TS) | 1 | \$2,500 | \$2,500 | \$1,625 | 09/30/2009 | |
| UP 2008-417(SI) | 1 | \$2,500 | \$2,500 | \$1,875 | 09/30/2009 | |
| UP 2008-418(FCS) | 2 | \$5,000 | \$5,000 | \$3,200 | 09/30/2009 | |
| UP 2008-419(TS) | 2 | \$3,500 | \$3,500 | \$2,700 | 09/30/2009 | |
| UP 2008-42(SA) | 4 | \$17,500 | \$17,500 | \$10,500 | 09/30/2009 | |
| UP 2008-420(SA) | 5 | \$17,500 | \$17,500 | \$11,350 | 09/30/2009 | |
| UP 2008-421(ROP) | 1 | \$2,000 | \$2,000 | \$1,600 | 09/30/2009 | |
| UP 2008-422(RW) | 1 | \$3,000 | \$3,000 | \$2,500 | 09/30/2009 | |
| UP 2008-423(LI) | 6 | \$15,000 | \$15,000 | \$9,325 | 09/30/2009 | |
| UP 2008-424(EQ) | 1 | \$1,000 | \$1,000 | \$675 | 09/30/2009 | |
| UP 2008-425(FCS) | 3 | \$10,000 | \$10,000 | \$5,800 | 09/30/2009 | |
| UP 2008-426(SI) | 1 | \$2,500 | \$2,500 | \$550 | 09/30/2009 | |
| UP 2008-427(TS) | 3 | \$11,000 | \$11,000 | \$7,800 | 09/30/2009 | |
| UP 2008-428(RSP) | 2 | \$10,000 | \$10,000 | \$8,000 | 09/30/2009 | |
| UP 2008-43(SI) | 3 | \$7,500 | \$7,500 | \$6,000 | 09/30/2009 | |
| UP 2008-430(SA) | 3 | \$12,500 | \$12,500 | \$8,800 | 09/30/2009 | |
| UP 2008-431(LI) | 1 | \$1,000 | \$1,000 | \$900 | 09/30/2009 | |
| UP 2008-432(RW) | 1 | \$1,000 | \$1,000 | \$700 | 09/30/2009 | |
| UP 2008-433(ROR) | 1 | \$27,000 | \$27,000 | \$15,000 | 09/30/2009 | |
| UP 2008-435(HSR) | 4 | \$4,000 | \$4,000 | \$2,750 | 09/30/2009 | |
| UP 2008-436(GC) | 1 | \$5,000 | \$5,000 | \$4,000 | 09/30/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|--|
| UP 2008-437(ROP) | 1 | \$5,000 | \$5,000 | \$3,500 | 09/30/2009 | |
| UP 2008-438(TS) | 2 | \$10,000 | \$10,000 | \$7,100 | 09/30/2009 | |
| UP 2008-439(SA) | 5 | \$25,000 | \$25,000 | \$17,900 | 09/30/2009 | |
| UP 2008-44(GC) | 3 | \$12,500 | \$12,500 | \$10,000 | 09/30/2009 | |
| UP 2008-440(SA) | 5 | \$22,500 | \$22,500 | \$14,250 | 09/30/2009 | |
| UP 2008-441(SA) | 6 | \$25,000 | \$25,000 | \$15,500 | 09/30/2009 | |
| UP 2008-442(SI) | 2 | \$7,500 | \$7,500 | \$2,550 | 09/30/2009 | |
| UP 2008-443(FCS) | 3 | \$10,000 | \$10,000 | \$7,000 | 09/30/2009 | |
| UP 2008-444(SA) | 2 | \$10,000 | \$10,000 | \$7,700 | 09/30/2009 | |
| UP 2008-445(RW) | 4 | \$14,000 | \$12,000 | \$9,400 | 09/30/2009 | Partially Terminated Violation(s)#: 1 |
| UP 2008-446(LI) | 1 | \$2,500 | \$2,500 | \$1,650 | 09/30/2009 | |
| UP 2008-447(ROP) | 2 | \$12,500 | \$12,500 | \$7,800 | 09/30/2009 | |
| UP 2008-448(SI) | 1 | \$2,500 | \$2,500 | \$1,625 | 09/30/2009 | |
| UP 2008-449(FCS) | 1 | \$5,000 | \$5,000 | \$2,900 | 09/30/2009 | |
| UP 2008-45(ROP) | 2 | \$10,000 | \$10,000 | \$5,900 | 09/30/2009 | |
| UP 2008-450(SA) | 5 | \$15,000 | \$15,000 | \$9,450 | 09/30/2009 | |
| UP 2008-451(SA) | 5 | \$15,000 | \$15,000 | \$9,600 | 09/30/2009 | |
| UP 2008-452(SA) | 5 | \$12,500 | \$12,500 | \$8,500 | 09/30/2009 | |
| UP 2008-455(HMT) | 2 | \$10,000 | \$10,000 | \$6,700 | 09/30/2009 | |
| UP 2008-456(GC) | 3 | \$15,000 | \$15,000 | \$9,000 | 09/30/2009 | |
| UP 2008-457(FCS) | 1 | \$2,500 | \$2,500 | \$1,950 | 09/30/2009 | |
| UP 2008-458(AR) | 3 | \$7,500 | \$5,000 | \$3,200 | 09/30/2009 | Terminated Violation(s)#: 3 |
| UP 2008-46(FCS) | 6 | \$20,000 | \$20,000 | \$11,900 | 09/30/2009 | |
| UP 2008-460(SA) | 5 | \$17,500 | \$17,500 | \$10,600 | 09/30/2009 | |
| UP 2008-461(SA) | 4 | \$10,000 | \$10,000 | \$8,000 | 09/30/2009 | |
| UP 2008-462(SA) | 5 | \$17,500 | \$17,500 | \$11,150 | 09/30/2009 | |
| UP 2008-463(SA) | 4 | \$12,500 | \$12,500 | \$8,200 | 09/30/2009 | |
| UP 2008-464(HMT) | 2 | \$10,500 | \$9,500 | \$6,600 | 09/30/2009 | Partially Terminated Violation#: 2 |
| UP 2008-465(HMT) | 4 | \$17,500 | \$17,500 | \$14,000 | 09/30/2009 | |
| UP 2008-466(FCS) | 5 | \$15,000 | \$15,000 | \$10,250 | 09/30/2009 | |
| UP 2008-468(SA) | 5 | \$22,500 | \$22,500 | \$15,500 | 09/30/2009 | |
| UP 2008-469(SA) | 5 | \$12,500 | \$12,500 | \$6,800 | 09/30/2009 | |
| UP 2008-47(SI) | 4 | \$10,000 | \$10,000 | \$6,400 | 09/30/2009 | |
| UP 2008-470(LI) | 2 | \$3,500 | \$3,500 | \$2,150 | 09/30/2009 | |
| UP 2008-471(TS) | 3 | \$12,500 | \$12,500 | \$8,800 | 09/30/2009 | |
| UP 2008-472(TS) | 4 | \$20,000 | \$20,000 | \$13,150 | 09/30/2009 | |
| UP 2008-473(LI) | 1 | \$2,500 | \$2,500 | \$1,000 | 09/30/2009 | |
| UP 2008-48(SA) | 4 | \$12,500 | \$12,500 | \$8,100 | 09/30/2009 | |
| UP 2008-49(FCS) | 3 | \$10,000 | \$10,000 | \$6,200 | 09/30/2009 | |
| UP 2008-50(ROR) | 4 | \$10,000 | \$10,000 | \$8,000 | 09/30/2009 | |
| UP 2008-51(ROP) | 1 | \$5,000 | \$5,000 | \$3,500 | 09/30/2009 | |
| UP 2008-52(SI) | 1 | \$5,000 | \$5,000 | \$4,000 | 09/30/2009 | |
| UP 2008-53(GC) | 4 | \$16,000 | \$16,000 | \$11,900 | 09/30/2009 | |
| UP 2008-54(FCS) | 5 | \$17,500 | \$17,500 | \$11,100 | 09/30/2009 | |
| UP 2008-55(AR) | 1 | \$2,500 | \$2,500 | \$1,000 | 09/30/2009 | |
| UP 2008-56(TS) | 3 | \$6,000 | \$6,000 | \$4,800 | 09/30/2009 | |
| UP 2008-58(HS) | 3 | \$3,000 | \$3,000 | \$1,650 | 09/30/2009 | |
| UP 2008-59(HMT) | 1 | \$2,500 | \$2,500 | \$1,500 | 09/30/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|-----------------|------------------------------|-------------|-------------|------------------------------|----------------------------|----------------------|
| UP 2008-6(AD) | 1 | \$5,000 | \$5,000 | \$3,000 | 09/30/2009 | |
| UP 2008-60(TS) | 1 | \$1,000 | \$1,000 | \$1,000 | 09/30/2009 | |
| UP 2008-61(RSP) | 1 | \$2,500 | \$2,500 | \$2,000 | 09/30/2009 | |
| UP 2008-62(FCS) | 2 | \$7,500 | \$7,500 | \$6,050 | 09/30/2009 | |
| UP 2008-64(SA) | 5 | \$15,000 | \$15,000 | \$10,400 | 09/30/2009 | |
| UP 2008-65(SA) | 5 | \$15,000 | \$15,000 | \$10,250 | 09/30/2009 | |
| UP 2008-66(SA) | 4 | \$12,500 | \$12,500 | \$6,400 | 09/30/2009 | |
| UP 2008-67(TS) | 4 | \$13,500 | \$13,500 | \$7,500 | 09/30/2009 | |
| UP 2008-68(TS) | 2 | \$5,000 | \$5,000 | \$3,500 | 09/30/2009 | |
| UP 2008-69(RSP) | 1 | \$5,000 | \$5,000 | \$4,500 | 09/30/2009 | |
| UP 2008-7(TS) | 25 | \$47,500 | \$47,500 | \$32,250 | 09/30/2009 | |
| UP 2008-70(HMT) | 3 | \$36,000 | \$36,000 | \$21,500 | 09/30/2009 | |
| UP 2008-71(HMT) | 1 | \$4,000 | \$4,000 | \$2,400 | 09/30/2009 | |
| UP 2008-72(HMT) | 3 | \$17,000 | \$17,000 | \$12,300 | 09/30/2009 | |
| UP 2008-73(SA) | 3 | \$12,500 | \$12,500 | \$7,500 | 09/30/2009 | |
| UP 2008-74(TS) | 1 | \$2,500 | \$2,500 | \$1,550 | 09/30/2009 | |
| UP 2008-75(SI) | 1 | \$5,000 | \$5,000 | \$4,000 | 09/30/2009 | |
| UP 2008-76(FCS) | 1 | \$2,500 | \$2,500 | \$1,200 | 09/30/2009 | |
| UP 2008-77(SA) | 2 | \$7,500 | \$7,500 | \$5,150 | 09/30/2009 | |
| UP 2008-78(LI) | 4 | \$8,500 | \$8,500 | \$6,250 | 09/30/2009 | |
| UP 2008-79(EQ) | 2 | \$3,500 | \$3,500 | \$2,050 | 09/30/2009 | |
| UP 2008-8(TS) | 2 | \$3,500 | \$3,500 | \$2,800 | 09/30/2009 | |
| UP 2008-80(AD) | 5 | \$10,500 | \$10,500 | \$6,300 | 09/30/2009 | |
| UP 2008-81(SI) | 2 | \$5,000 | \$5,000 | \$4,000 | 09/30/2009 | |
| UP 2008-82(FCS) | 1 | \$2,500 | \$2,500 | \$1,450 | 09/30/2009 | |
| UP 2008-83(SA) | 2 | \$7,500 | \$7,500 | \$5,800 | 09/30/2009 | |
| UP 2008-84(FCS) | 1 | \$5,000 | \$5,000 | \$3,000 | 09/30/2009 | |
| UP 2008-85(HMT) | 1 | \$6,000 | \$2,000 | \$2,000 | 09/30/2009 | Partial Termination. |
| UP 2008-86(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 09/30/2009 | |
| UP 2008-88(LI) | 13 | \$18,500 | \$18,500 | \$11,150 | 09/30/2009 | |
| UP 2008-89(TS) | 1 | \$1,000 | \$1,000 | \$550 | 09/30/2009 | |
| UP 2008-9(TS) | 2 | \$3,500 | \$3,500 | \$2,800 | 09/30/2009 | |
| UP 2008-90(SA) | 2 | \$7,500 | \$7,500 | \$6,000 | 09/30/2009 | |
| UP 2008-91(FCS) | 1 | \$5,000 | \$5,000 | \$3,600 | 09/30/2009 | |
| UP 2008-92(RW) | 1 | \$2,000 | \$2,000 | \$1,400 | 09/30/2009 | |
| UP 2008-93(SA) | 1 | \$5,000 | \$5,000 | \$3,600 | 09/30/2009 | |
| UP 2008-94(FCS) | 5 | \$17,500 | \$17,500 | \$12,600 | 09/30/2009 | |
| UP 2008-95(SI) | 2 | \$7,500 | \$7,500 | \$4,050 | 09/30/2009 | |
| UP 2008-96(SA) | 5 | \$25,000 | \$25,000 | \$15,000 | 09/30/2009 | |
| UP 2008-97(SA) | 5 | \$22,500 | \$22,500 | \$17,500 | 09/30/2009 | |
| UP 2008-98(SA) | 5 | \$20,000 | \$20,000 | \$16,250 | 09/30/2009 | |
| UP 2008-99(SA) | 2 | \$7,500 | \$7,500 | \$5,800 | 09/30/2009 | |
| UP 2009-1(SA) | 4 | \$12,500 | \$12,500 | \$7,800 | 09/30/2009 | |
| UP 2009-10(TS) | 10 | \$10,000 | \$10,000 | \$6,700 | 09/30/2009 | |
| UP 2009-12(FCS) | 1 | \$2,500 | \$2,500 | \$2,000 | 09/30/2009 | |
| UP 2009-13(SA) | 3 | \$12,500 | \$12,500 | \$8,200 | 09/30/2009 | |
| UP 2009-14(SA) | 3 | \$10,000 | \$10,000 | \$7,050 | 09/30/2009 | |
| UP 2009-15(LI) | 6 | \$15,500 | \$15,500 | \$10,200 | 09/30/2009 | |
| UP 2009-17(HMT) | 1 | \$7,500 | \$7,500 | \$5,000 | 09/30/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|-----------------|
| UP 2009-19(HMT) | 1 | \$7,500 | \$7,500 | \$4,500 | 09/30/2009 | |
| UP 2009-2(SA) | 5 | \$17,500 | \$17,500 | \$12,500 | 09/30/2009 | |
| UP 2009-22(EO) | 1 | \$2,500 | \$2,500 | \$1,800 | 09/30/2009 | |
| UP 2009-23(HMT) | 2 | \$10,500 | \$10,500 | \$8,500 | 09/30/2009 | |
| UP 2009-25(TS) | 3 | \$6,000 | \$6,000 | \$3,900 | 09/30/2009 | |
| UP 2009-26(TS) | 2 | \$5,000 | \$5,000 | \$3,500 | 09/30/2009 | |
| UP 2009-28(TS) | 5 | \$25,000 | \$25,000 | \$16,750 | 09/30/2009 | |
| UP 2009-29(SA) | 3 | \$15,000 | \$15,000 | \$10,100 | 09/30/2009 | |
| UP 2009-3(FCS) | 4 | \$12,500 | \$12,500 | \$7,400 | 09/30/2009 | |
| UP 2009-32(SA) | 4 | \$12,500 | \$12,500 | \$8,000 | 09/30/2009 | |
| UP 2009-34(HMT) | 1 | \$9,000 | \$9,000 | \$6,500 | 09/30/2009 | |
| UP 2009-35(TS) | 1 | \$5,000 | \$5,000 | \$3,600 | 09/30/2009 | |
| UP 2009-36(LI) | 2 | \$5,500 | \$5,500 | \$3,300 | 09/30/2009 | |
| UP 2009-37(TS) | 1 | \$5,000 | \$5,000 | \$3,600 | 09/30/2009 | |
| UP 2009-39(SA) | 3 | \$10,000 | \$10,000 | \$8,000 | 09/30/2009 | |
| UP 2009-41(SA) | 1 | \$2,500 | \$2,500 | \$2,000 | 09/30/2009 | |
| UP 2009-42(SA) | 3 | \$15,000 | \$15,000 | \$8,450 | 09/30/2009 | |
| UP 2009-43(FCS) | 1 | \$5,000 | \$5,000 | \$2,700 | 09/30/2009 | |
| UP 2009-44(ROP) | 1 | \$2,000 | \$2,000 | \$1,400 | 09/30/2009 | |
| UP 2009-45(HMT) | 1 | \$2,500 | \$2,500 | \$1,250 | 09/30/2009 | |
| UP 2009-46(TS) | 13 | \$65,000 | \$65,000 | \$42,250 | 09/30/2009 | |
| UP 2009-50(LI) | 4 | \$10,000 | \$10,000 | \$6,250 | 09/30/2009 | |
| UP 2009-6(SA) | 4 | \$10,000 | \$10,000 | \$6,300 | 09/30/2009 | |
| UP 2009-7(SA) | 5 | \$20,000 | \$20,000 | \$13,300 | 09/30/2009 | |
| UP 2009-8(SA) | 4 | \$15,000 | \$15,000 | \$9,350 | 09/30/2009 | |
| UTAH 2007-1(SA) | 1 | \$5,000 | \$5,000 | \$3,000 | 02/03/2009 | |
| VSOR 2007-1(LI) | 3 | \$6,000 | \$6,000 | \$4,560 | 09/11/2009 | |
| VSOR 2008-1(LI) | 1 | \$5,000 | \$5,000 | \$3,800 | 09/11/2009 | |
| VSRR 2008-1(SA) | 1 | \$5,000 | \$5,000 | \$1,500 | 04/20/2009 | |
| VSRR 2008-2(TS) | 1 | \$1,000 | \$1,000 | \$720 | 04/20/2009 | |
| XABC 2008-1(RW) | 1 | \$2,500 | \$2,500 | \$1,750 | 11/05/2008 | |
| XACM 2008-1(HMT) | 4 | \$16,000 | \$16,000 | \$8,800 | 10/08/2008 | |
| XAMC 2008-1(RW) | 1 | \$5,000 | \$5,000 | \$3,500 | 02/25/2009 | |
| XAME 2008-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,000 | 02/02/2009 | |
| XARD 2007-1(AD) | 1 | \$2,500 | \$2,500 | \$1,750 | 07/02/2009 | |
| XATH 2008-1(HMT) | 1 | \$10,000 | \$10,000 | \$6,800 | 10/21/2008 | |
| XBEE 2009-1(HMT) | 3 | \$6,000 | \$6,000 | \$4,500 | 06/26/2009 | |
| XBEQ 2008-1(HMT) | 2 | \$4,000 | \$4,000 | \$4,000 | 02/05/2009 | |
| XCMQ 2008-3(GC) | 1 | \$5,000 | \$5,000 | \$3,750 | 11/20/2008 | |
| XEMR 2008-1(RW) | 1 | \$2,000 | \$2,000 | \$2,000 | 12/16/2008 | |
| XGLN 2008-2(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 05/12/2009 | |
| XGWT 2009-1(HMT) | 3 | \$15,000 | \$15,000 | \$10,000 | 08/03/2009 | |
| XHGP 2007-1(HMT) | 1 | \$1,500 | \$1,500 | \$1,500 | 12/10/2008 | |
| XITS 2003-1(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 02/04/2009 | |
| XITS 2008-1(SA) | 1 | \$5,000 | \$5,000 | \$5,000 | 02/04/2009 | |
| XJBS 2008-1(RW) | 1 | \$2,000 | \$2,000 | \$2,000 | 10/30/2008 | |
| XJFI 2008-1(HMT) | 1 | \$2,500 | \$2,500 | \$2,500 | 10/30/2008 | |
| XJGS 2008-1(RW) | 1 | \$3,000 | \$3,000 | \$2,100 | 01/26/2009 | |
| XPRS 2009-1(FCS) | 1 | \$2,500 | \$2,500 | \$2,500 | 06/19/2009 | |

**Federal Railroad Administration
Safety Cases Closed in FY 2009**

| FRA No. | No. of Violations | POCA | PRCA | Settlement Amount | Settlement Date | Comments |
|-------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|------------------|
| XRST 2009-1(RW) | 3 | \$8,000 | \$8,000 | \$6,000 | 07/29/2009 | |
| XUCX 2007-1(SA) | 3 | \$12,500 | \$12,500 | \$6,000 | 01/28/2009 | |
| YSVR 2005-1(HMT) | 2 | \$11,500 | \$11,500 | \$8,395 | 09/11/2009 | |
| YSVR 2007-1(E0) | 1 | \$11,000 | \$11,000 | \$8,580 | 09/11/2009 | |
| YSVR 2007-3(E0) | 1 | \$5,000 | \$5,000 | \$3,800 | 09/11/2009 | |
| YSVR 2007-4(E0) | 1 | \$5,000 | \$5,000 | \$3,000 | 09/11/2009 | |
| YSVR 2007-5(GC) | 3 | \$7,500 | \$7,500 | \$5,700 | 09/11/2009 | |
| YSVR 2007-6(GC) | 3 | \$7,500 | \$7,500 | \$5,700 | 09/11/2009 | |
| YSVR 2007-7(GC) | 3 | \$3,000 | \$3,000 | \$2,280 | 09/11/2009 | |
| YSVR 2007-8(GC) | 2 | \$2,000 | \$2,000 | \$1,340 | 09/11/2009 | |
| ZACE 2009-1(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 05/15/2009 | |
| ZACE 2009-2(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 06/17/2009 | |
| ZACE 2009-3(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 09/02/2009 | |
| ZACH 2008-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,500 | 01/16/2009 | |
| ZACH 2008-2(HMT) | 1 | \$10,000 | \$10,000 | \$7,500 | 01/16/2009 | |
| ZACR 2008-1(HMT) | 1 | \$10,000 | \$10,000 | \$7,200 | 12/19/2008 | |
| ZACR 2008-2(HMT) | 1 | \$5,000 | \$5,000 | \$3,000 | 12/19/2008 | |
| ZADR 2008-1(HMT) | 2 | \$3,000 | \$3,000 | \$2,000 | 12/19/2008 | |
| ZAGE 2009-1(HMT) | 1 | \$10,000 | \$10,000 | \$7,500 | 09/14/2009 | |
| ZAHC 2006-3(HMT) | 1 | \$10,000 | \$10,000 | \$2,500 | 06/10/2009 | |
| ZAIL 2008-1(HMT) | 1 | \$10,000 | \$10,000 | \$7,700 | 03/11/2009 | |
| ZAIN 2008-2(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 12/23/2008 | |
| ZAKM 2008-2(HMT) | 1 | \$10,000 | \$10,000 | \$7,900 | 01/29/2009 | |
| ZAKZ 2008-2(HMT) | 1 | \$2,000 | \$2,000 | \$1,300 | 03/06/2009 | |
| ZAKZ 2008-3(HMT) | 1 | \$15,000 | \$15,000 | \$11,500 | 03/06/2009 | |
| ZALD 2008-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,000 | 10/15/2008 | |
| ZALD 2008-2(HMT) | 2 | \$10,000 | \$10,000 | \$500 | 01/28/2009 | |
| ZALQ 2009-1(HMT) | 1 | \$1,000 | \$1,000 | \$1,000 | 09/22/2009 | |
| ZALTS 2008-2(HMT) | 1 | \$5,000 | \$5,000 | \$3,750 | 11/05/2008 | |
| ZALTS 2009-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,050 | 05/20/2009 | |
| ZALTS 2009-2(HMT) | 1 | \$2,000 | \$2,000 | \$1,400 | 08/20/2009 | |
| ZALX 2009-1(HMT) | 1 | \$2,500 | \$2,500 | \$1,550 | 08/20/2009 | |
| ZALX 2009-2(HMT) | 1 | \$5,000 | \$5,000 | \$3,750 | 08/20/2009 | |
| ZAMC 2007-1(HMT) | 1 | \$2,500 | \$2,500 | \$1,825 | 12/19/2008 | |
| ZAMC 2007-2(HMT) | 2 | \$10,000 | \$10,000 | \$5,925 | 12/19/2008 | |
| ZAMC 2007-3(HMT) | 2 | \$10,000 | \$10,000 | \$5,900 | 12/19/2008 | |
| ZAMC 2007-4(HMT) | 5 | \$25,000 | \$25,000 | \$14,250 | 12/19/2008 | |
| ZAMC 2008-1(HMT) | 1 | \$10,000 | \$10,000 | \$7,300 | 12/19/2008 | |
| ZAMC 2008-2(HMT) | 6 | \$13,500 | \$13,500 | \$7,700 | 12/19/2008 | |
| ZAMC 2008-3(HMT) | 2 | \$10,000 | \$10,000 | \$5,800 | 12/19/2008 | |
| ZAMC 2008-5(HMT) | 2 | \$15,000 | \$15,000 | \$10,600 | 12/19/2008 | |
| ZAMP 2007-1(HMT) | 1 | \$7,500 | \$0 | \$0 | 01/15/2009 | CASE TERMINATED. |
| ZAMP 2007-2(HMT) | 1 | \$7,500 | \$0 | \$0 | 01/15/2009 | CASE TERMINATED. |
| ZAMRG 2007-1(HMT) | 1 | \$7,500 | \$7,500 | \$5,250 | 11/11/2008 | |
| ZAMRG 2008-1(HMT) | 3 | \$9,000 | \$9,000 | \$6,100 | 11/11/2008 | |
| ZAMRI 2006-1(HMT) | 1 | \$10,000 | \$10,000 | \$7,500 | 12/12/2008 | |
| ZAMRI 2007-1(HMT) | 1 | \$10,000 | \$10,000 | \$5,600 | 12/12/2008 | |
| ZAND 2008-2(HMT) | 1 | \$5,000 | \$5,000 | \$3,400 | 10/29/2008 | |
| ZAND 2009-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,400 | 02/26/2009 | |

**Federal Railroad Administration
Safety Cases Closed in FY 2009**

| FRA No. | No. of Violations | POCA | PRCA | Settlement Amount | Settlement Date | Comments |
|------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|-----------------------------|
| ZAND 2009-2(HMT) | 2 | \$4,000 | \$4,000 | \$2,750 | 07/27/2009 | |
| ZAND 2009-3(HMT) | 1 | \$2,000 | \$2,000 | \$1,340 | 09/24/2009 | |
| ZAPI 2008-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,200 | 10/29/2008 | |
| ZAPI 2008-2(HMT) | 1 | \$2,000 | \$2,000 | \$1,200 | 12/30/2008 | |
| ZAPL 2005-1(HMT) | 2 | \$4,500 | \$4,500 | \$3,050 | 11/26/2008 | |
| ZAPL 2006-2(HMT) | 1 | \$7,500 | \$0 | \$0 | 10/29/2008 | CASE TERMINATED. |
| ZAPL 2007-3(HMT) | 4 | \$12,000 | \$12,000 | \$8,300 | 11/26/2008 | |
| ZAPL 2008-1(HMT) | 1 | \$7,500 | \$7,500 | \$5,250 | 03/18/2009 | |
| ZARE 2008-2(HMT) | 1 | \$10,000 | \$10,000 | \$8,000 | 03/17/2009 | |
| ZARE 2008-3(HMT) | 1 | \$10,000 | \$10,000 | \$6,800 | 03/17/2009 | |
| ZARE 2009-1(HMT) | 1 | \$5,000 | \$5,000 | \$2,000 | 07/06/2009 | |
| ZARG 2008-1(HMT) | 2 | \$8,500 | \$8,500 | \$5,525 | 11/06/2008 | |
| ZARG 2008-2(HMT) | 2 | \$10,000 | \$10,000 | \$6,800 | 11/07/2008 | |
| ZARG 2009-1(HMT) | 2 | \$10,000 | \$10,000 | \$5,000 | 05/11/2009 | |
| ZARG 2009-2(HMT) | 1 | \$5,000 | \$5,000 | \$2,500 | 08/19/2009 | |
| ZARX 2008-1(HMT) | 1 | \$7,500 | \$7,500 | \$5,400 | 02/02/2009 | |
| ZARX 2008-2(HMT) | 1 | \$4,000 | \$4,000 | \$2,600 | 02/02/2009 | |
| ZARZ 2008-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,000 | 12/11/2008 | |
| ZARZ 2008-2(HMT) | 1 | \$15,000 | \$15,000 | \$10,400 | 01/12/2009 | |
| ZASC 2008-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,400 | 08/20/2009 | |
| ZASC 2009-1(HMT) | 2 | \$11,000 | \$11,000 | \$8,250 | 08/20/2009 | |
| ZASD 2007-2(HMT) | 1 | \$2,000 | \$2,000 | \$1,500 | 11/25/2008 | |
| ZASD 2007-3(HMT) | 1 | \$2,000 | \$2,000 | \$1,400 | 11/25/2008 | |
| ZASD 2008-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,400 | 11/25/2008 | |
| ZASD 2009-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,440 | 08/20/2009 | |
| ZASO 2009-1(HMT) | 1 | \$5,000 | \$5,000 | \$2,500 | 06/30/2009 | |
| ZATH 2008-1(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 12/31/2008 | |
| ZATI 2009-1(HMT) | 3 | \$6,000 | \$6,000 | \$3,800 | 07/28/2009 | |
| ZATK 2009-1(HMT) | 7 | \$14,000 | \$14,000 | \$9,500 | 03/11/2009 | |
| ZAUI 2008-3(HMT) | 1 | \$10,000 | \$10,000 | \$6,500 | 11/26/2008 | |
| ZAUI 2008-4(HMT) | 1 | \$5,000 | \$5,000 | \$3,600 | 11/26/2008 | |
| ZAUI 2009-1(HMT) | 1 | \$2,500 | \$2,500 | \$1,675 | 04/02/2009 | |
| ZAUI 2009-2(HMT) | 1 | \$10,000 | \$10,000 | \$7,600 | 04/30/2009 | |
| ZAUI 2009-3(HMT) | 1 | \$2,000 | \$2,000 | \$1,260 | 05/20/2009 | |
| ZAUX 2009-1(HMT) | 3 | \$30,000 | \$0 | \$0 | 08/25/2009 | Case Terminated. |
| ZBAR 2009-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,300 | 05/20/2009 | |
| ZBAS 2007-3(HMT) | 1 | \$5,000 | \$5,000 | \$3,500 | 01/21/2009 | |
| ZBAS 2008-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,200 | 01/21/2009 | |
| ZBAS 2008-2(HMT) | 1 | \$5,000 | \$5,000 | \$3,200 | 01/21/2009 | |
| ZBAS 2008-3(HMT) | 1 | \$5,000 | \$0 | \$0 | 01/21/2009 | CASE TERMINATED. |
| ZBAS 2008-5(HMT) | 5 | \$25,000 | \$25,000 | \$5,000 | 01/23/2009 | |
| ZBAS 2008-6(HMT) | 1 | \$2,500 | \$2,500 | \$2,500 | 01/21/2009 | |
| ZBAS 2008-7(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 01/21/2009 | |
| ZBAS 2008-8(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 01/21/2009 | |
| ZBAS 2008-9(HMT) | 1 | \$2,500 | \$2,500 | \$2,500 | 02/02/2009 | |
| ZBBR 2009-1(HMT) | 3 | \$11,000 | \$11,000 | \$6,000 | 06/18/2009 | |
| ZBEH 2009-1(HMT) | 2 | \$7,500 | \$5,000 | \$3,400 | 07/06/2009 | Terminated Violation(s)#: 2 |
| ZBEL 2009-1(HMT) | 1 | \$10,000 | \$10,000 | \$6,500 | 06/26/2009 | |
| ZBEX 2009-1(HMT) | 2 | \$8,000 | \$8,000 | \$8,000 | 04/22/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|-------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|-----------------|
| ZBPAI 2009-1(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 04/22/2009 | |
| ZBPO 2008-1(HMT) | 1 | \$10,000 | \$10,000 | \$10,000 | 01/21/2009 | |
| ZBPO 2008-2(HMT) | 3 | \$11,000 | \$11,000 | \$11,000 | 01/21/2009 | |
| ZBPO 2008-3(HMT) | 1 | \$10,000 | \$10,000 | \$10,000 | 12/05/2008 | |
| ZBTC 2008-1(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 04/24/2009 | |
| ZBTQ 2008-1(HMT) | 1 | \$7,500 | \$7,500 | \$1,200 | 01/12/2009 | |
| ZBVE 2008-1(HMT) | 1 | \$1,000 | \$1,000 | \$1,000 | 02/02/2009 | |
| ZBYC 2009-1(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 06/05/2009 | |
| ZCAMI 2009-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,400 | 04/15/2009 | |
| ZCCM 2008-3(HMT) | 2 | \$10,000 | \$10,000 | \$10,000 | 01/26/2009 | |
| ZCELA 2009-1(HMT) | 3 | \$12,500 | \$12,500 | \$12,500 | 08/27/2009 | |
| ZCELA 2009-2(HMT) | 3 | \$6,000 | \$6,000 | \$6,000 | 08/04/2009 | |
| ZCFER 2004-1(HMT) | 2 | \$7,500 | \$7,500 | \$5,000 | 02/04/2009 | |
| ZCHEV 2008-2(HMT) | 1 | \$2,000 | \$2,000 | \$1,440 | 07/16/2009 | |
| ZCHEV 2009-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,440 | 07/16/2009 | |
| ZCHX 2009-2(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 06/24/2009 | |
| ZCLQ 2007-2(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 02/13/2009 | |
| ZCLQ 2008-2(HMT) | 1 | \$5,000 | \$5,000 | \$3,500 | 07/14/2009 | |
| ZCLQ 2008-3(HMT) | 1 | \$10,000 | \$10,000 | \$7,700 | 07/14/2009 | |
| ZCLQ 2009-1(HMT) | 1 | \$10,000 | \$10,000 | \$7,300 | 07/14/2009 | |
| ZCLX 2007-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,250 | 10/09/2008 | |
| ZCLX 2008-1(HMT) | 1 | \$10,000 | \$10,000 | \$7,500 | 10/09/2008 | |
| ZCMB 2005-1(HMT) | 2 | \$25,000 | \$25,000 | \$15,000 | 01/23/2009 | |
| ZCMF 2008-1(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 10/09/2008 | |
| ZCMK 2008-1(HMT) | 1 | \$7,500 | \$7,500 | \$7,500 | 11/07/2008 | |
| ZCMK 2009-1(HMT) | 1 | \$10,000 | \$10,000 | \$7,500 | 07/30/2009 | |
| ZCODG 2008-1(HMT) | 1 | \$1,500 | \$1,500 | \$1,500 | 01/21/2009 | |
| ZCODG 2008-2(HMT) | 2 | \$10,000 | \$10,000 | \$7,000 | 01/26/2009 | |
| ZCOU 2009-1(HMT) | 2 | \$4,000 | \$4,000 | \$4,000 | 03/17/2009 | |
| ZCPR 2009-1(HMT) | 1 | \$2,500 | \$2,500 | \$2,500 | 03/10/2009 | |
| ZCPR 2009-2(HMT) | 1 | \$2,500 | \$2,500 | \$2,500 | 03/10/2009 | |
| ZCPR 2009-3(HMT) | 2 | \$5,000 | \$5,000 | \$5,000 | 03/10/2009 | |
| ZCRH 2009-1(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 06/26/2009 | |
| ZCSD 2009-1(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 04/14/2009 | |
| ZCUI 2005-1(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 04/14/2009 | |
| ZCUI 2007-1(HMT) | 1 | \$10,000 | \$10,000 | \$10,000 | 04/14/2009 | |
| ZCUI 2008-2(HMT) | 1 | \$10,000 | \$10,000 | \$7,000 | 03/12/2009 | |
| ZCUI 2009-1(HMT) | 1 | \$2,500 | \$2,500 | \$2,500 | 03/27/2009 | |
| ZCUI 2009-2(HMT) | 1 | \$5,000 | \$5,000 | \$3,850 | 07/16/2009 | |
| ZCYT 2009-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,400 | 07/29/2009 | |
| ZDAK 2009-1(HMT) | 4 | \$8,000 | \$8,000 | \$6,000 | 07/02/2009 | |
| ZDAK 2009-2(HMT) | 1 | \$2,000 | \$2,000 | \$1,500 | 07/02/2009 | |
| ZDCD 2003-1(HMT) | 1 | \$10,000 | \$10,000 | \$8,000 | 07/28/2009 | |
| ZDCU 2003-4(HMT) | 1 | \$5,000 | \$5,000 | \$4,000 | 12/16/2008 | |
| ZDCU 2004-1(HMT) | 1 | \$5,000 | \$5,000 | \$4,000 | 12/16/2008 | |
| ZDCU 2004-2(HMT) | 3 | \$6,000 | \$6,000 | \$4,800 | 12/16/2008 | |
| ZDCU 2004-3(HMT) | 2 | \$4,000 | \$4,000 | \$3,200 | 12/16/2008 | |
| ZDCU 2005-2(HMT) | 4 | \$20,000 | \$20,000 | \$16,000 | 12/16/2008 | |
| ZDCU 2005-3(HMT) | 1 | \$5,000 | \$5,000 | \$4,000 | 12/16/2008 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|-------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|------------------|
| ZDCU 2005-4(HMT) | 1 | \$5,000 | \$5,000 | \$4,000 | 12/16/2008 | |
| ZDCU 2006-1(HMT) | 2 | \$6,000 | \$6,000 | \$4,800 | 12/16/2008 | |
| ZDCU 2006-3(HMT) | 1 | \$2,000 | \$2,000 | \$1,600 | 12/16/2008 | |
| ZDCU 2006-4(HMT) | 1 | \$2,500 | \$2,500 | \$2,000 | 12/16/2008 | |
| ZDCU 2007-1(HMT) | 2 | \$10,000 | \$10,000 | \$8,000 | 12/16/2008 | |
| ZDCU 2007-2(HMT) | 1 | \$10,000 | \$10,000 | \$8,000 | 09/23/2009 | |
| ZDCU 2008-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,600 | 09/23/2009 | |
| ZDCU 2008-2(HMT) | 3 | \$11,500 | \$11,500 | \$9,200 | 09/23/2009 | |
| ZDCU 2008-3(HMT) | 1 | \$10,000 | \$10,000 | \$8,000 | 09/23/2009 | |
| ZDCU 2008-4(HMT) | 1 | \$2,000 | \$2,000 | \$1,600 | 09/23/2009 | |
| ZDCU 2008-5(HMT) | 1 | \$1,000 | \$1,000 | \$800 | 09/23/2009 | |
| ZDCU 2008-6(HMT) | 1 | \$7,500 | \$7,500 | \$6,000 | 09/23/2009 | |
| ZDCU 2008-7(HMT) | 1 | \$5,000 | \$5,000 | \$4,000 | 09/23/2009 | |
| ZDCU 2009-1(HMT) | 1 | \$4,000 | \$4,000 | \$3,200 | 09/23/2009 | |
| ZDCU 2009-2(HMT) | 1 | \$5,000 | \$5,000 | \$4,000 | 09/23/2009 | |
| ZDCU 2009-3(HMT) | 1 | \$5,000 | \$5,000 | \$4,000 | 09/23/2009 | |
| ZDET 2008-1(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 01/06/2009 | |
| ZDFI 2005-1(HMT) | 3 | \$6,000 | \$6,000 | \$4,500 | 01/05/2009 | |
| ZDFI 2005-2(HMT) | 1 | \$2,000 | \$2,000 | \$1,500 | 01/05/2009 | |
| ZDIA 2009-1(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 03/05/2009 | |
| ZDLT 2004-1(HMT) | 1 | \$10,000 | \$10,000 | \$8,500 | 07/28/2009 | |
| ZDLZ 2009-1(HMT) | 2 | \$9,500 | \$9,500 | \$9,500 | 07/28/2009 | |
| ZDSI 2003-1(HMT) | 2 | \$7,000 | \$0 | \$0 | 12/17/2008 | CASE TERMINATED. |
| ZDSP 2005-1(HMT) | 2 | \$20,000 | \$20,000 | \$10,000 | 01/05/2009 | |
| ZDSP 2007-1(HMT) | 2 | \$12,000 | \$12,000 | \$6,000 | 01/05/2009 | |
| ZDSP 2008-1(HMT) | 2 | \$10,000 | \$10,000 | \$6,000 | 01/05/2009 | |
| ZDTI 2009-1(HMT) | 3 | \$6,000 | \$6,000 | \$6,000 | 09/17/2009 | |
| ZDTLP 2008-1(HMT) | 3 | \$6,000 | \$6,000 | \$6,000 | 03/23/2009 | |
| ZEACH 2007-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,500 | 03/09/2009 | |
| ZEACH 2007-2(HMT) | 3 | \$15,000 | \$15,000 | \$10,500 | 03/09/2009 | |
| ZEACH 2007-3(HMT) | 4 | \$8,000 | \$8,000 | \$6,000 | 03/09/2009 | |
| ZEACH 2007-4(HMT) | 2 | \$15,000 | \$15,000 | \$10,000 | 03/09/2009 | |
| ZEACH 2008-1(HMT) | 1 | \$7,500 | \$7,500 | \$5,500 | 03/09/2009 | |
| ZEACH 2008-2(HMT) | 2 | \$7,000 | \$7,000 | \$4,000 | 03/09/2009 | |
| ZEACH 2008-3(HMT) | 1 | \$5,000 | \$5,000 | \$3,750 | 03/09/2009 | |
| ZEACH 2009-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,450 | 04/22/2009 | |
| ZEACH 2009-2(HMT) | 1 | \$5,000 | \$5,000 | \$4,000 | 04/22/2009 | |
| ZEACH 2009-3(HMT) | 2 | \$7,000 | \$7,000 | \$4,500 | 05/08/2009 | |
| ZEAP 2008-1(HMT) | 3 | \$3,000 | \$3,000 | \$2,000 | 02/12/2009 | |
| ZECD 2008-1(HMT) | 1 | \$10,000 | \$10,000 | \$7,200 | 04/01/2009 | |
| ZECD 2009-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,350 | 09/10/2009 | |
| ZECD 2009-2(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 09/10/2009 | |
| ZECDP 2007-1(HMT) | 9 | \$18,000 | \$18,000 | \$14,400 | 11/25/2008 | |
| ZECDP 2008-1(HMT) | 1 | \$7,500 | \$7,500 | \$5,250 | 02/25/2009 | |
| ZECL 2007-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,400 | 10/30/2008 | |
| ZECL 2009-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,350 | 03/26/2009 | |
| ZECN 2008-1(HMT) | 1 | \$7,500 | \$7,500 | \$5,750 | 11/24/2008 | |
| ZECR 2008-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,500 | 03/11/2009 | |
| ZEDC 2008-1(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 12/11/2008 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|-------------------|--------------------------|-------------|-------------|--------------------------|------------------------|---|
| ZEDC 2009-1(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 02/20/2009 | |
| ZEEA 2007-1(HMT) | 1 | \$10,000 | \$10,000 | \$7,000 | 04/06/2009 | |
| ZEEA 2009-1(HMT) | 3 | \$15,000 | \$15,000 | \$8,700 | 04/06/2009 | |
| ZEEN 2009-1(HMT) | 2 | \$3,000 | \$3,000 | \$2,100 | 04/22/2009 | |
| ZEGCO 2003-1(HMT) | 1 | \$5,000 | \$5,000 | \$4,200 | 10/15/2008 | |
| ZEHC 2006-1(HMT) | 1 | \$5,000 | \$5,000 | \$4,000 | 02/10/2009 | |
| ZEKAC 2008-1(HMT) | 2 | \$20,000 | \$20,000 | \$16,000 | 03/18/2009 | |
| ZEKAC 2009-1(HMT) | 1 | \$10,000 | \$10,000 | \$10,000 | 07/22/2009 | |
| ZELE 2004-1(HMT) | 1 | \$10,000 | \$10,000 | \$10,000 | 11/14/2008 | |
| ZEMCC 2007-2(HMT) | 1 | \$5,000 | \$5,000 | \$3,250 | 07/09/2009 | |
| ZEMCC 2008-1(HMT) | 1 | \$10,000 | \$10,000 | \$7,500 | 06/04/2009 | |
| ZEMCC 2008-2(HMT) | 1 | \$10,000 | \$10,000 | \$7,500 | 06/04/2009 | |
| ZEMCC 2008-3(HMT) | 1 | \$10,000 | \$10,000 | \$7,500 | 06/04/2009 | |
| ZEMCC 2009-1(HMT) | 2 | \$20,000 | \$10,000 | \$7,500 | 06/04/2009 | Terminated Violation(s)#: 2 |
| ZEMCC 2009-2(HMT) | 1 | \$10,000 | \$10,000 | \$7,200 | 07/09/2009 | |
| ZEMCC 2009-3(HMT) | 1 | \$10,000 | \$5,000 | \$4,000 | 09/30/2009 | Partially Terminated Violation(s)#: 1 (wrong penalty assessed.) |
| ZEMER 2004-1(HMT) | 2 | \$11,500 | \$11,500 | \$3,000 | 02/19/2009 | |
| ZEOb 2007-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,500 | 10/30/2008 | |
| ZEPC 2008-1(HMT) | 1 | \$7,500 | \$7,500 | \$6,000 | 01/08/2009 | |
| ZEPC 2008-2(HMT) | 2 | \$6,000 | \$6,000 | \$4,800 | 01/08/2009 | |
| ZEPC 2008-3(HMT) | 1 | \$10,000 | \$10,000 | \$8,000 | 01/08/2009 | |
| ZEPC 2008-4(HMT) | 1 | \$10,000 | \$10,000 | \$8,000 | 01/08/2009 | |
| ZEPC 2008-5(HMT) | 1 | \$2,500 | \$2,500 | \$2,000 | 01/08/2009 | |
| ZEPC 2008-6(HMT) | 1 | \$10,000 | \$10,000 | \$10,000 | 02/20/2009 | |
| ZEPC 2009-1(HMT) | 1 | \$10,000 | \$10,000 | \$10,000 | 02/20/2009 | |
| ZEPC 2009-2(HMT) | 2 | \$7,000 | \$7,000 | \$7,000 | 05/06/2009 | |
| ZEPC 2009-3(HMT) | 4 | \$10,000 | \$10,000 | \$10,000 | 05/06/2009 | |
| ZEPC 2009-4(HMT) | 2 | \$5,000 | \$5,000 | \$5,000 | 06/02/2009 | |
| ZEPC 2009-5(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 08/12/2009 | |
| ZEPC 2009-1(HMT) | 1 | \$5,000 | \$0 | \$0 | 08/27/2009 | Case Terminated. |
| ZEQU 2007-2(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 10/14/2008 | |
| ZEQU 2008-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,750 | 12/15/2008 | |
| ZEQU 2008-2(HMT) | 1 | \$5,000 | \$5,000 | \$4,000 | 12/15/2008 | |
| ZEQU 2008-3(HMT) | 1 | \$10,000 | \$10,000 | \$8,000 | 12/15/2008 | |
| ZEQU 2008-4(HMT) | 1 | \$5,000 | \$5,000 | \$4,000 | 05/14/2009 | |
| ZEQU 2009-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,500 | 07/01/2009 | |
| ZERT 2009-1(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 04/21/2009 | |
| ZEVD 2008-1(HMT) | 3 | \$12,500 | \$12,500 | \$9,500 | 10/30/2008 | |
| ZEVS 2004-1(HMT) | 1 | \$5,000 | \$0 | \$0 | 01/22/2009 | CASE TERMINATED. |
| ZEWW 2007-1(HMT) | 1 | \$10,000 | \$10,000 | \$7,500 | 10/30/2008 | |
| ZEWW 2008-1(HMT) | 2 | \$10,000 | \$10,000 | \$7,500 | 10/30/2008 | |
| ZEWW 2009-2(HMT) | 1 | \$10,000 | \$0 | \$0 | 07/23/2009 | Case Terminated. |
| ZEXM 2004-2(HMT) | 1 | \$2,500 | \$2,500 | \$2,500 | 04/06/2009 | |
| ZEXM 2008-1(HMT) | 1 | \$10,000 | \$10,000 | \$7,400 | 08/10/2009 | |
| ZEZZ 2008-1(HMT) | 2 | \$6,000 | \$6,000 | \$6,000 | 10/14/2008 | |
| ZFAZ 2007-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,600 | 03/24/2009 | |
| ZFEC 2005-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,250 | 02/05/2009 | |
| ZFEC 2007-1(HMT) | 1 | \$7,500 | \$7,500 | \$5,500 | 02/05/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|-------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|------------------|
| ZFIC 2005-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,500 | 01/29/2009 | |
| ZFLZ 2008-1(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 12/01/2008 | |
| ZFMCI 2004-1(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 01/30/2009 | |
| ZFMCI 2008-1(HMT) | 2 | \$20,000 | \$20,000 | \$15,000 | 01/30/2009 | |
| ZFMCI 2008-2(HMT) | 4 | \$30,000 | \$30,000 | \$15,000 | 01/30/2009 | |
| ZFTQ 2005-1(HMT) | 1 | \$1,000 | \$1,000 | \$1,000 | 01/23/2009 | |
| ZGAO 2009-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,500 | 08/11/2009 | |
| ZGATX 2007-1(HMT) | 1 | \$7,500 | \$7,500 | \$4,500 | 08/12/2009 | |
| ZGATX 2008-3(HMT) | 3 | \$24,000 | \$24,000 | \$14,500 | 08/12/2009 | |
| ZGAX 2007-1(HMT) | 2 | \$18,000 | \$18,000 | \$15,000 | 08/12/2009 | |
| ZGCC 2009-1(HMT) | 3 | \$15,000 | \$15,000 | \$15,000 | 06/16/2009 | |
| ZGCL 2009-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,200 | 03/26/2009 | |
| ZGEC 2007-2(HMT) | 18 | \$36,000 | \$36,000 | \$26,000 | 07/29/2009 | |
| ZGET 2008-2(HMT) | 2 | \$6,000 | \$6,000 | \$6,000 | 05/01/2009 | |
| ZGGS 2005-1(HMT) | 1 | \$5,000 | \$5,000 | \$1,000 | 07/23/2009 | |
| ZGIP 2007-1(HMT) | 1 | \$10,000 | \$10,000 | \$6,500 | 01/13/2009 | |
| ZGIP 2007-2(HMT) | 2 | \$15,000 | \$15,000 | \$10,500 | 01/13/2009 | |
| ZGIP 2007-3(HMT) | 1 | \$5,000 | \$0 | \$0 | 01/13/2009 | CASE TERMINATED. |
| ZGIP 2008-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,300 | 01/13/2009 | |
| ZGLE 2008-1(HMT) | 1 | \$10,000 | \$10,000 | \$6,000 | 03/23/2009 | |
| ZGLE 2009-1(HMT) | 4 | \$20,000 | \$20,000 | \$12,000 | 03/23/2009 | |
| ZGLE 2009-2(HMT) | 1 | \$5,000 | \$5,000 | \$3,000 | 03/23/2009 | |
| ZGNS 2002-1(HMT) | 1 | \$2,500 | \$0 | \$0 | 04/14/2009 | CASE TERMINATED. |
| ZGPS 2007-1(HMT) | 4 | \$35,000 | \$35,000 | \$30,000 | 04/17/2009 | |
| ZGPS 2008-2(HMT) | 1 | \$10,000 | \$10,000 | \$8,000 | 04/17/2009 | |
| ZGPS 2009-1(HMT) | 1 | \$10,000 | \$10,000 | \$8,000 | 04/17/2009 | |
| ZGPS 2009-2(HMT) | 1 | \$5,000 | \$5,000 | \$4,000 | 04/17/2009 | |
| ZGPS 2009-3(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 05/20/2009 | |
| ZGRE 2008-1(HMT) | 1 | \$10,000 | \$10,000 | \$6,800 | 01/29/2009 | |
| ZGRE 2009-1(HMT) | 1 | \$10,000 | \$10,000 | \$6,800 | 07/01/2009 | |
| ZGRN 2007-1(HMT) | 5 | \$21,500 | \$21,500 | \$13,500 | 06/25/2009 | |
| ZGRN 2007-2(HMT) | 5 | \$21,000 | \$21,000 | \$12,000 | 06/25/2009 | |
| ZGRN 2007-3(HMT) | 4 | \$15,000 | \$15,000 | \$9,500 | 06/25/2009 | |
| ZGRR 2007-1(HMT) | 1 | \$10,000 | \$10,000 | \$7,000 | 09/16/2009 | |
| ZGRR 2007-2(HMT) | 1 | \$5,000 | \$5,000 | \$3,500 | 09/16/2009 | |
| ZGRR 2008-1(HMT) | 2 | \$10,000 | \$10,000 | \$6,500 | 09/16/2009 | |
| ZGRR 2009-1(HMT) | 1 | \$10,000 | \$10,000 | \$7,000 | 09/16/2009 | |
| ZGRR 2009-2(HMT) | 1 | \$5,000 | \$5,000 | \$3,500 | 09/16/2009 | |
| ZGSD 2008-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,250 | 12/16/2008 | |
| ZGTE 2009-1(HMT) | 2 | \$9,000 | \$9,000 | \$7,000 | 03/10/2009 | |
| ZGTR 2009-1(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 08/18/2009 | |
| ZGYR 2007-1(HMT) | 2 | \$6,000 | \$6,000 | \$4,500 | 06/19/2009 | |
| ZHCQ 2005-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,425 | 03/16/2009 | |
| ZHCQ 2007-1(HMT) | 1 | \$5,000 | \$5,000 | \$4,000 | 03/16/2009 | |
| ZHES 2005-2(HMT) | 2 | \$10,500 | \$10,500 | \$7,700 | 03/16/2009 | |
| ZHGF 2006-1(HMT) | 2 | \$15,000 | \$15,000 | \$9,500 | 11/10/2008 | |
| ZHGF 2007-1(HMT) | 1 | \$10,000 | \$0 | \$0 | 11/10/2008 | CASE TERMINATED. |
| ZHGF 2007-3(HMT) | 1 | \$10,000 | \$10,000 | \$7,500 | 11/10/2008 | |
| ZHGF 2008-1(HMT) | 2 | \$10,000 | \$10,000 | \$6,975 | 11/11/2008 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|-------------------|--------------------------|-------------|-------------|--------------------------|------------------------|---------------------------------------|
| ZHGF 2008-2(HMT) | 1 | \$5,000 | \$5,000 | \$3,025 | 11/11/2008 | |
| ZHKC 2008-1(HMT) | 2 | \$15,000 | \$15,000 | \$13,250 | 11/19/2008 | |
| ZHKD 2007-3(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 10/21/2008 | |
| ZHKD 2008-2(HMT) | 1 | \$10,000 | \$10,000 | \$10,000 | 12/17/2008 | |
| ZHKD 2008-3(HMT) | 1 | \$10,000 | \$10,000 | \$10,000 | 03/30/2009 | |
| ZHKD 2009-1(HMT) | 3 | \$20,000 | \$20,000 | \$15,850 | 03/10/2009 | |
| ZHLB 2008-1(HMT) | 1 | \$10,000 | \$10,000 | \$10,000 | 11/02/2008 | |
| ZHNI 2006-2(HMT) | 2 | \$10,000 | \$10,000 | \$8,100 | 01/12/2009 | |
| ZHNI 2007-1(HMT) | 1 | \$10,000 | \$10,000 | \$8,550 | 01/12/2009 | |
| ZHNI 2008-1(HMT) | 1 | \$1,000 | \$1,000 | \$750 | 01/21/2009 | |
| ZHOI 2008-1(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 10/27/2008 | |
| ZHOW 2007-1(HMT) | 1 | \$4,000 | \$4,000 | \$2,800 | 01/12/2009 | |
| ZHOW 2008-1(HMT) | 1 | \$10,000 | \$10,000 | \$8,500 | 01/12/2009 | |
| ZHOW 2008-2(HMT) | 2 | \$6,000 | \$6,000 | \$4,750 | 01/12/2009 | |
| ZHPR 2009-1(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 07/01/2009 | |
| ZHUD 2007-1(HMT) | 1 | \$5,000 | \$5,000 | \$4,080 | 01/08/2009 | |
| ZHUD 2007-2(HMT) | 1 | \$10,000 | \$10,000 | \$8,500 | 01/08/2009 | |
| ZHUD 2008-1(HMT) | 2 | \$10,000 | \$10,000 | \$8,170 | 01/08/2009 | |
| ZHUS 2005-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,550 | 01/15/2009 | |
| ZIAF 2004-1(HMT) | 1 | \$7,500 | \$0 | \$0 | 02/04/2009 | CASE TERMINATED. |
| ZIDM 2008-1(HMT) | 2 | \$4,000 | \$4,000 | \$3,000 | 01/21/2009 | |
| ZIID 2008-1(HMT) | 2 | \$4,000 | \$4,000 | \$4,000 | 12/10/2008 | |
| ZIM 2006-1(HMT) | 1 | \$7,500 | \$7,500 | \$4,000 | 12/16/2008 | |
| ZIMTB 2001-1(HMT) | 1 | \$10,000 | \$0 | \$0 | 11/25/2008 | Case Terminated. |
| ZIMTB 2006-1(HMT) | 1 | \$7,500 | \$7,500 | \$5,625 | 11/25/2008 | |
| ZIMTB 2007-1(HMT) | 1 | \$10,000 | \$10,000 | \$7,500 | 11/25/2008 | |
| ZIMTB 2008-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,750 | 11/25/2008 | |
| ZINO 2009-2(HMT) | 1 | \$7,500 | \$7,500 | \$7,500 | 09/29/2009 | |
| ZINQ 2005-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,500 | 03/05/2009 | |
| ZINS 2006-1(HMT) | 3 | \$7,500 | \$0 | \$0 | 01/29/2009 | Case Terminated. |
| ZINTT 2007-2(HMT) | 3 | \$15,000 | \$15,000 | \$9,500 | 10/17/2008 | |
| ZINTT 2007-3(HMT) | 1 | \$5,000 | \$5,000 | \$3,500 | 10/17/2008 | |
| ZINTT 2007-4(HMT) | 1 | \$10,000 | \$10,000 | \$8,000 | 10/17/2008 | |
| ZINTT 2007-5(HMT) | 1 | \$10,000 | \$10,000 | \$8,000 | 10/17/2008 | |
| ZINTT 2007-6(HMT) | 2 | \$2,000 | \$2,000 | \$1,400 | 10/17/2008 | |
| ZINTT 2008-1(HMT) | 3 | \$15,000 | \$15,000 | \$10,500 | 10/17/2008 | |
| ZINV 2006-1(HMT) | 2 | \$15,000 | \$0 | \$0 | 12/15/2008 | CASE TERMINATED. |
| ZINV 2008-1(HMT) | 4 | \$8,000 | \$8,000 | \$5,000 | 02/04/2009 | |
| ZINV 2009-1(HMT) | 1 | \$2,000 | \$0 | \$0 | 07/13/2009 | Case Terminated. |
| ZIOCO 2004-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,000 | 11/12/2008 | |
| ZIOW 2006-1(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 10/17/2008 | |
| ZIP 2005-1(HMT) | 3 | \$6,500 | \$6,500 | \$4,425 | 10/14/2008 | |
| ZIP 2006-1(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 10/14/2008 | |
| ZIP 2006-2(HMT) | 2 | \$3,000 | \$3,000 | \$2,250 | 10/14/2008 | |
| ZIP 2007-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,200 | 10/14/2008 | |
| ZIP 2008-1(HMT) | 1 | \$5,000 | \$2,000 | \$2,000 | 10/14/2008 | Partially Terminated Violation(s)#: 1 |
| ZIP 2008-2(HMT) | 1 | \$2,000 | \$2,000 | \$1,500 | 11/05/2008 | |
| ZIPB 2009-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,500 | 04/21/2009 | |
| ZIPP 2008-1(HMT) | 2 | \$4,000 | \$4,000 | \$4,000 | 02/09/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|-------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|--|
| ZIRL 2009-1(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 03/19/2009 | CASE TERMINATED. |
| ZIRO 2005-1(HMT) | 1 | \$7,500 | \$0 | \$0 | 01/05/2009 | |
| ZIRO 2006-1(HMT) | 1 | \$5,000 | \$5,000 | \$1,500 | 01/05/2009 | |
| ZIRO 2007-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,750 | 01/05/2009 | |
| ZIRO 2008-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,500 | 01/05/2009 | |
| ZISRV 2007-1(HMT) | 2 | \$4,500 | \$4,500 | \$3,375 | 12/11/2008 | |
| ZITS 2005-1(HMT) | 2 | \$4,000 | \$4,000 | \$1,000 | 12/08/2008 | |
| ZITS 2008-1(HMT) | 2 | \$10,000 | \$10,000 | \$2,000 | 12/08/2008 | |
| ZITT 2008-1(HMT) | 2 | \$4,000 | \$4,000 | \$3,000 | 10/20/2008 | |
| ZITT 2008-2(HMT) | 1 | \$2,000 | \$2,000 | \$1,300 | 10/20/2008 | |
| ZITT 2008-3(HMT) | 1 | \$10,000 | \$10,000 | \$6,000 | 10/20/2008 | CASE TERMINATED. |
| ZITT 2008-4(HMT) | 1 | \$5,000 | \$5,000 | \$3,000 | 10/20/2008 | |
| ZIUC 2004-1(HMT) | 8 | \$16,000 | \$16,000 | \$8,800 | 12/11/2008 | |
| ZIVS 2008-1(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 12/15/2008 | |
| ZIVS 2008-2(HMT) | 1 | \$5,000 | \$0 | \$0 | 12/10/2008 | |
| ZJCB 2007-1(HMT) | 4 | \$16,000 | \$16,000 | \$10,500 | 02/12/2009 | |
| ZJHO 2007-1(HMT) | 1 | \$10,000 | \$10,000 | \$8,500 | 01/26/2009 | |
| ZJMH 2008-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,250 | 01/26/2009 | |
| ZJSWG 2006-1(HMT) | 1 | \$2,500 | \$2,500 | \$1,700 | 01/26/2009 | |
| ZKAS 2007-1(HMT) | 1 | \$5,000 | \$5,000 | \$4,000 | 01/08/2009 | |
| ZKAS 2007-2(HMT) | 1 | \$5,000 | \$5,000 | \$3,825 | 01/08/2009 | |
| ZKMG 2008-1(HMT) | 1 | \$5,000 | \$5,000 | \$4,100 | 02/18/2009 | |
| ZKMT 2007-1(HMT) | 1 | \$10,000 | \$10,000 | \$7,875 | 01/26/2009 | |
| ZKMT 2007-1(HMT) | 1 | \$5,500 | \$5,500 | \$3,600 | 01/29/2009 | |
| ZKPI 2008-3(HMT) | 2 | \$10,000 | \$10,000 | \$10,000 | 02/09/2009 | |
| ZKPI 2008-4(HMT) | 4 | \$16,000 | \$16,000 | \$16,000 | 02/18/2009 | |
| ZKPI 2009-1(HMT) | 2 | \$4,000 | \$4,000 | \$4,000 | 03/06/2009 | |
| ZKPI 2009-2(HMT) | 1 | \$7,500 | \$7,500 | \$7,500 | 08/24/2009 | |
| ZKSL 2008-2(HMT) | 8 | \$16,000 | \$16,000 | \$16,000 | 11/07/2008 | |
| ZKUG 2008-1(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 11/26/2008 | |
| ZKUG 2008-2(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 04/17/2009 | |
| ZKYE 2009-1(HMT) | 9 | \$18,000 | \$18,000 | \$18,000 | 05/12/2009 | |
| ZLHP 2008-1(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 01/29/2009 | |
| ZMCQ 2006-1(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 08/04/2009 | |
| ZMED 2006-1(HMT) | 1 | \$7,500 | \$7,500 | \$6,500 | 12/31/2008 | |
| ZMERL 2008-1(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 01/14/2009 | |
| ZMFS 2009-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,500 | 09/28/2009 | |
| ZMLR 2008-1(HMT) | 2 | \$4,000 | \$4,000 | \$4,000 | 11/26/2008 | CASE TERMINATED. |
| ZMNG 2007-1(HMT) | 1 | \$2,000 | \$0 | \$0 | 01/12/2009 | |
| ZMON 2008-1(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 11/05/2008 | |
| ZMPT 2008-1(HMT) | 1 | \$10,000 | \$0 | \$0 | 02/09/2009 | |
| ZMRT 2009-1(HMT) | 2 | \$4,000 | \$4,000 | \$2,500 | 09/28/2009 | |
| ZMTE 2006-3(HMT) | 8 | \$16,000 | \$16,000 | \$10,800 | 01/05/2009 | |
| ZMTE 2007-1(HMT) | 6 | \$30,000 | \$12,000 | \$8,160 | 01/05/2009 | |
| ZMTE 2007-2(HMT) | 1 | \$10,000 | \$10,000 | \$7,500 | 01/05/2009 | |
| ZMTE 2008-2(HMT) | 7 | \$13,000 | \$13,000 | \$8,450 | 01/05/2009 | |
| ZMWC 2008-1(HMT) | 1 | \$5,000 | \$5,000 | \$2,500 | 05/11/2009 | Partially Terminated Violation(s)#: 1-6 |
| ZMWC 2009-1(HMT) | 1 | \$5,000 | \$5,000 | \$1,000 | 05/11/2009 | |
| ZMWC 2009-2(HMT) | 2 | \$5,000 | \$5,000 | \$2,700 | 04/08/2009 | |

**Federal Railroad Administration
Safety Cases Closed in FY 2009**

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|-------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|-----------------------------|
| ZMWC 2009-3(HMT) | 1 | \$5,000 | \$5,000 | \$2,500 | 05/11/2009 | |
| ZNEI 2008-2(HMT) | 2 | \$4,000 | \$4,000 | \$4,000 | 10/27/2008 | |
| ZNSE 2009-1(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 07/08/2009 | |
| ZNYR 2009-1(HMT) | 1 | \$10,000 | \$10,000 | \$10,000 | 04/19/2009 | |
| ZPACE 2005-1(HMT) | 1 | \$7,500 | \$7,500 | \$6,550 | 11/17/2008 | |
| ZPACE 2007-1(HMT) | 1 | \$12,500 | \$12,500 | \$9,250 | 11/17/2008 | |
| ZPAE 2008-1(HMT) | 1 | \$7,500 | \$7,500 | \$5,625 | 12/01/2008 | |
| ZPAP 2003-1(HMT) | 1 | \$10,000 | \$0 | \$0 | 01/14/2009 | CASE TERMINATED. |
| ZPBI 2002-1(HMT) | 1 | \$15,000 | \$0 | \$0 | 01/14/2009 | CASE TERMINATED. |
| ZPCE 2007-2(HMT) | 1 | \$10,000 | \$10,000 | \$7,400 | 01/24/2009 | |
| ZPCE 2008-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,550 | 01/24/2009 | |
| ZPCH 2007-1(HMT) | 1 | \$5,000 | \$0 | \$0 | 01/22/2009 | Case Terminated (Wrong RR). |
| ZPCI 2002-1(HMT) | 1 | \$5,000 | \$0 | \$0 | 01/26/2009 | CASE TERMINATED. |
| ZPCS 2007-1(HMT) | 2 | \$15,000 | \$15,000 | \$7,800 | 01/15/2009 | |
| ZPCSS 2007-2(HMT) | 1 | \$10,000 | \$10,000 | \$7,300 | 02/02/2009 | |
| ZPCSS 2008-1(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 11/19/2008 | |
| ZPG 2008-1(HMT) | 2 | \$12,500 | \$12,500 | \$9,718 | 05/13/2009 | |
| ZPG 2008-2(HMT) | 1 | \$2,000 | \$2,000 | \$1,582 | 05/13/2009 | |
| ZPGM 2006-1(HMT) | 3 | \$15,000 | \$15,000 | \$11,700 | 06/05/2009 | |
| ZPGP 2003-1(HMT) | 1 | \$2,500 | \$0 | \$0 | 01/16/2009 | CASE TERMINATED. |
| ZPGQ 2009-1(HMT) | 1 | \$10,000 | \$10,000 | \$6,850 | 05/11/2009 | |
| ZPHG 2008-1(HMT) | 1 | \$10,000 | \$10,000 | \$7,100 | 07/16/2009 | |
| ZPHI 2007-1(HMT) | 1 | \$10,000 | \$10,000 | \$5,650 | 12/15/2008 | |
| ZPHO 2007-2(HMT) | 1 | \$10,000 | \$10,000 | \$7,400 | 02/23/2009 | |
| ZPHS 2008-1(HMT) | 1 | \$7,500 | \$7,500 | \$5,250 | 01/23/2009 | |
| ZPINE 2002-1(HMT) | 3 | \$12,000 | \$0 | \$0 | 12/28/2008 | CASE TERMINATED. |
| ZPJC 2007-1(HMT) | 1 | \$5,000 | \$0 | \$0 | 01/28/2009 | CASE TERMINATED. |
| ZPJC 2008-1(HMT) | 3 | \$22,500 | \$22,500 | \$12,000 | 01/28/2009 | |
| ZPJC 2008-2(HMT) | 1 | \$2,500 | \$2,500 | \$1,950 | 01/28/2009 | |
| ZPJC 2008-3(HMT) | 1 | \$10,000 | \$10,000 | \$7,300 | 01/28/2009 | |
| ZPJC 2008-4(HMT) | 1 | \$7,500 | \$7,500 | \$5,700 | 01/28/2009 | |
| ZPKG 2008-1(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 12/31/2008 | |
| ZPLE 2009-1(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 05/12/2009 | |
| ZPLS 2006-1(HMT) | 1 | \$5,000 | \$5,000 | \$4,100 | 12/01/2008 | |
| ZPLS 2007-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,900 | 12/01/2008 | |
| ZPLS 2007-2(HMT) | 1 | \$5,000 | \$5,000 | \$3,900 | 12/01/2008 | |
| ZPLS 2007-3(HMT) | 1 | \$5,000 | \$5,000 | \$3,900 | 12/01/2008 | |
| ZPLS 2007-4(HMT) | 1 | \$5,000 | \$5,000 | \$3,700 | 12/01/2008 | |
| ZPMN 2005-1(HMT) | 1 | \$10,000 | \$10,000 | \$6,250 | 01/23/2009 | |
| ZPMQ 2006-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,900 | 01/24/2009 | |
| ZPMQ 2007-2(HMT) | 1 | \$7,500 | \$7,500 | \$5,850 | 01/24/2009 | |
| ZPMQ 2007-3(HMT) | 1 | \$7,500 | \$7,500 | \$5,475 | 01/24/2009 | |
| ZPMQ 2008-1(HMT) | 1 | \$10,000 | \$10,000 | \$7,550 | 01/24/2009 | |
| ZPNR 2009-1(HMT) | 1 | \$10,000 | \$10,000 | \$7,800 | 07/16/2009 | |
| ZPOC 2003-1(HMT) | 1 | \$7,500 | \$0 | \$0 | 01/29/2009 | CASE TERMINATED. |
| ZPONS 2008-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,700 | 11/11/2008 | |
| ZPPR 2008-1(HMT) | 8 | \$16,000 | \$16,000 | \$10,560 | 03/10/2009 | |
| ZPPR 2008-2(HMT) | 1 | \$2,000 | \$2,000 | \$1,450 | 02/11/2009 | |
| ZPRC 2006-1(HMT) | 1 | \$7,500 | \$7,500 | \$5,925 | 02/26/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|-------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|-----------------------------|
| ZPRC 2006-2(HMT) | 1 | \$7,500 | \$7,500 | \$5,925 | 02/24/2009 | |
| ZPRN 2008-1(HMT) | 1 | \$10,000 | \$10,000 | \$7,400 | 01/22/2009 | |
| ZPRQ 2009-1(HMT) | 1 | \$2,500 | \$2,500 | \$2,500 | 05/01/2009 | |
| ZPRS 2008-1(HMT) | 3 | \$7,500 | \$7,500 | \$4,700 | 03/12/2009 | |
| ZPRW 2008-1(HMT) | 1 | \$5,000 | \$5,000 | \$2,800 | 07/20/2009 | |
| ZPRX 2008-2(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 10/20/2008 | |
| ZPTR 2007-1(HMT) | 1 | \$10,000 | \$10,000 | \$6,980 | 02/06/2009 | |
| ZPTR 2007-2(HMT) | 1 | \$10,000 | \$10,000 | \$7,250 | 02/06/2009 | |
| ZPTRS 2004-1(HMT) | 4 | \$10,000 | \$10,000 | \$4,445 | 03/12/2009 | |
| ZPVS 2004-1(HMT) | 1 | \$10,000 | \$10,000 | \$7,800 | 02/05/2009 | |
| ZPVS 2004-2(HMT) | 1 | \$1,000 | \$1,000 | \$750 | 02/05/2009 | |
| ZPVS 2006-1(HMT) | 1 | \$5,000 | \$5,000 | \$2,500 | 02/05/2009 | |
| ZRAY 2009-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,500 | 03/26/2009 | |
| ZRCH 2007-1(HMT) | 2 | \$7,000 | \$7,000 | \$5,600 | 11/06/2008 | |
| ZRCH 2007-2(HMT) | 1 | \$7,500 | \$7,500 | \$4,500 | 11/06/2008 | |
| ZRCH 2007-3(HMT) | 1 | \$4,000 | \$4,000 | \$3,200 | 11/06/2008 | |
| ZRCH 2008-1(HMT) | 1 | \$10,000 | \$10,000 | \$6,000 | 12/19/2008 | |
| ZRCH 2009-1(HMT) | 2 | \$10,000 | \$10,000 | \$5,800 | 09/11/2009 | |
| ZREBO 2005-1(HMT) | 2 | \$7,000 | \$7,000 | \$500 | 12/10/2008 | |
| ZREN 2009-2(HMT) | 3 | \$7,500 | \$7,500 | \$6,500 | 03/23/2009 | |
| ZRES 2009-1(HMT) | 1 | \$10,000 | \$10,000 | \$5,000 | 09/16/2009 | |
| ZRET 2007-2(HMT) | 1 | \$5,000 | \$5,000 | \$3,500 | 11/12/2008 | |
| ZRFE 2007-1(HMT) | 2 | \$10,000 | \$10,000 | \$6,500 | 11/03/2008 | |
| ZRGL 2008-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,500 | 12/08/2008 | |
| ZRGZ 2005-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,250 | 11/20/2008 | |
| ZRHD 2008-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,800 | 03/18/2009 | |
| ZRHI 2007-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,600 | 11/04/2008 | |
| ZRKA 2006-1(HMT) | 2 | \$5,000 | \$5,000 | \$3,500 | 11/10/2008 | |
| ZRKA 2007-1(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 11/10/2008 | |
| ZRLI 2003-1(HMT) | 2 | \$8,000 | \$8,000 | \$500 | 12/10/2008 | |
| ZRLZ 2009-1(HMT) | 1 | \$2,500 | \$2,500 | \$1,500 | 05/28/2009 | |
| ZRLZ 2009-2(HMT) | 1 | \$7,500 | \$7,500 | \$5,000 | 05/28/2009 | |
| ZRMZ 2008-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,500 | 09/03/2009 | |
| ZRNP 2009-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,500 | 09/15/2009 | |
| ZRPM 2008-1(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 03/03/2009 | |
| ZRPM 2008-2(HMT) | 1 | \$7,500 | \$7,500 | \$7,500 | 12/29/2008 | |
| ZRPM 2008-3(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 12/29/2008 | |
| ZRPQ 2008-1(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 01/06/2009 | |
| ZRSH 2007-3(HMT) | 1 | \$2,000 | \$2,000 | \$1,600 | 11/26/2008 | |
| ZRSH 2009-1(HMT) | 2 | \$7,000 | \$5,000 | \$3,500 | 05/28/2009 | Terminated Violation(s)#: 1 |
| ZRSMI 2003-1(RW) | 1 | \$2,000 | \$2,000 | \$550 | 12/16/2008 | |
| ZRSNL 2007-1(HMT) | 1 | \$5,000 | \$5,000 | \$2,500 | 11/19/2008 | |
| ZRTE 2009-1(HMT) | 2 | \$10,000 | \$10,000 | \$7,500 | 08/05/2009 | |
| ZSEZ 2007-1(HMT) | 1 | \$2,500 | \$2,500 | \$2,500 | 07/22/2009 | |
| ZSIMP 2006-1(HMT) | 9 | \$18,000 | \$18,000 | \$3,250 | 04/01/2009 | |
| ZSKI 2007-1(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 04/15/2009 | |
| ZSKI 2007-2(HMT) | 4 | \$8,000 | \$8,000 | \$8,000 | 05/13/2009 | |
| ZSWA 2004-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,500 | 11/22/2008 | |
| ZSYF 2008-1(HMT) | 7 | \$14,000 | \$14,000 | \$14,000 | 06/23/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|-------------------|------------------------------|-------------|-------------|------------------------------|----------------------------|------------------|
| ZTAG 2007-1(HMT) | 1 | \$5,000 | \$5,000 | \$4,000 | 11/13/2008 | |
| ZTAM 2008-1(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 10/14/2008 | |
| ZTAPI 2008-1(HMT) | 1 | \$5,000 | \$5,000 | \$4,250 | 10/23/2008 | |
| ZTAU 2008-1(HMT) | 1 | \$5,000 | \$5,000 | \$3,500 | 12/09/2008 | |
| ZTAU 2008-2(HMT) | 1 | \$5,000 | \$5,000 | \$4,250 | 12/09/2008 | |
| ZTAU 2009-1(HMT) | 1 | \$5,000 | \$5,000 | \$4,500 | 06/05/2009 | |
| ZTBY 2008-1(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 10/14/2008 | |
| ZTCL 2009-1(HMT) | 2 | \$4,000 | \$4,000 | \$3,500 | 07/28/2009 | |
| ZTCN 2009-1(HMT) | 1 | \$10,000 | \$10,000 | \$10,000 | 06/29/2009 | |
| ZTER 2008-1(HMT) | 1 | \$5,000 | \$5,000 | \$4,000 | 10/30/2008 | |
| ZTERM 2008-1(HMT) | 2 | \$4,000 | \$4,000 | \$4,000 | 10/14/2008 | |
| ZTERM 2008-2(HMT) | 1 | \$2,500 | \$2,500 | \$2,000 | 11/10/2008 | |
| ZTERM 2009-1(HMT) | 3 | \$7,500 | \$7,500 | \$7,500 | 03/12/2009 | |
| ZTFLO 2003-1(HMT) | 2 | \$7,000 | \$7,000 | \$4,000 | 10/23/2008 | |
| ZTFLO 2008-2(HMT) | 1 | \$5,000 | \$5,000 | \$3,500 | 10/01/2008 | |
| ZTFLO 2009-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,500 | 06/16/2009 | |
| ZTGO 2007-2(HMT) | 1 | \$10,000 | \$10,000 | \$8,000 | 11/12/2008 | |
| ZTGO 2008-1(HMT) | 1 | \$5,000 | \$5,000 | \$4,000 | 11/12/2008 | |
| ZTIL 2008-1(HMT) | 2 | \$20,000 | \$20,000 | \$12,000 | 06/30/2009 | |
| ZTIQ 2008-1(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 10/14/2008 | |
| ZTKH 2008-1(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 10/14/2008 | |
| ZTMF 2009-1(HMT) | 1 | \$2,500 | \$2,500 | \$2,000 | 05/26/2009 | |
| ZTPA 2009-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,500 | 07/28/2009 | |
| ZTPU 2008-1(HMT) | 1 | \$10,000 | \$10,000 | \$7,500 | 08/03/2009 | |
| ZTRH 2008-1(HMT) | 2 | \$4,000 | \$4,000 | \$2,800 | 12/13/2008 | |
| ZTRH 2008-2(HMT) | 2 | \$4,000 | \$4,000 | \$3,400 | 06/25/2009 | |
| ZTRH 2009-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,600 | 06/25/2009 | |
| ZTRN 2009-1(HMT) | 1 | \$10,000 | \$10,000 | \$6,000 | 06/30/2009 | |
| ZTRZ 2008-1(HMT) | 1 | \$1,500 | \$1,500 | \$1,125 | 06/25/2009 | |
| ZTSS 2007-1(HMT) | 1 | \$10,000 | \$10,000 | \$7,500 | 11/13/2008 | |
| ZTSS 2008-1(HMT) | 1 | \$10,000 | \$10,000 | \$7,500 | 11/13/2008 | |
| ZTSS 2009-1(HMT) | 1 | \$10,000 | \$10,000 | \$10,000 | 06/25/2009 | |
| ZTTQ 2007-1(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 10/14/2008 | |
| ZTTQ 2008-1(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 10/22/2008 | |
| ZTTS 2008-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,500 | 06/29/2009 | |
| ZTTW 2008-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,500 | 11/12/2008 | |
| ZTWK 2009-1(SA) | 1 | \$5,000 | \$0 | \$0 | 06/11/2009 | Case Terminated. |
| ZUCL 2009-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,300 | 09/29/2009 | |
| ZUCL 2009-2(HMT) | 1 | \$2,000 | \$2,000 | \$1,300 | 09/29/2009 | |
| ZULS 2005-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,000 | 02/10/2009 | |
| ZUNC 2007-1(HMT) | 1 | \$2,000 | \$2,000 | \$1,700 | 01/28/2009 | |
| ZUNIV 2008-3(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 01/05/2009 | |
| ZUPT 2006-1(HMT) | 2 | \$13,500 | \$13,500 | \$10,950 | 05/01/2009 | |
| ZUPT 2007-1(HMT) | 3 | \$35,000 | \$35,000 | \$21,800 | 05/01/2009 | |
| ZUPT 2008-1(HMT) | 2 | \$9,000 | \$9,000 | \$5,450 | 05/01/2009 | |
| ZUSO 2009-1(HMT) | 6 | \$30,000 | \$30,000 | \$15,000 | 07/21/2009 | |
| ZUSOR 2004-1(HMT) | 1 | \$7,500 | \$7,500 | \$4,500 | 01/27/2009 | |
| ZUSOR 2005-1(HMT) | 2 | \$10,000 | \$10,000 | \$6,000 | 01/27/2009 | |
| ZUSQ 2009-1(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 08/04/2009 | |

Federal Railroad Administration
Safety Cases Closed in FY 2009

| <u>FRA No.</u> | <u>No. of Violations</u> | <u>POCA</u> | <u>PRCA</u> | <u>Settlement Amount</u> | <u>Settlement Date</u> | <u>Comments</u> |
|-----------------------|-------------------------------------|---------------------|---------------------|-------------------------------------|-----------------------------------|------------------------|
| ZUTC 2007-3(HMT) | 1 | \$10,000 | \$10,000 | \$7,000 | 06/09/2009 | |
| ZUTC 2008-1(HMT) | 2 | \$7,500 | \$7,500 | \$5,250 | 03/24/2009 | |
| ZUTC 2008-2(HMT) | 1 | \$10,000 | \$10,000 | \$7,500 | 03/24/2009 | |
| ZVALM 2007-3(HMT) | 1 | \$7,500 | \$7,500 | \$5,500 | 12/23/2008 | |
| ZVALM 2008-1(HMT) | 1 | \$2,500 | \$2,500 | \$1,875 | 12/23/2008 | |
| ZVPRI 2009-1(HMT) | 1 | \$2,000 | \$2,000 | \$2,000 | 07/09/2009 | |
| ZVTZ 2008-1(HMT) | 2 | \$12,500 | \$12,500 | \$9,125 | 01/29/2009 | |
| ZWGR 2008-1(HMT) | 2 | \$5,000 | \$5,000 | \$5,000 | 01/29/2009 | |
| ZWPO 2008-1(HMT) | 2 | \$4,000 | \$4,000 | \$4,000 | 05/11/2009 | |
| ZWWE 2008-1(HMT) | 1 | \$5,000 | \$5,000 | \$5,000 | 05/02/2009 | |
| ZWWE 2008-2(HMT) | 2 | \$10,000 | \$10,000 | \$10,000 | 05/02/2009 | |
| Total | 7,342 | \$24,049,200 | \$22,928,700 | \$15,476,760 | | |

Respondent

| <u>Codes</u> | <u>Respondent Names</u> |
|--------------|---|
| AA | ANN ARBOR RAILROAD |
| ABS | Alabama Southern Railroad |
| ALS | The Alton and Southern Railway Company |
| AM | ARKANSAS AND MISSOURI RAILROAD COMPANY |
| AOK | ARKANSAS-OKLAHOMA RAILROAD COMPANY |
| ARR | ALASKA RAILROAD CORPORATION |
| ARZC | ARIZONA AND CALIFORNIA RAILROAD CO. |
| AVR | ALLEGHENY VALLEY RAILROAD CO. |
| AWRR | AUSTIN WESTERN RAILROAD |
| AZER | ARIZONA EASTERN RAILWAY |
| BB | BUCKINGHAM BRANCH RAILROAD COMPANY |
| BNSF | BNSF RAILWAY COMPANY |
| BNSO | BNSF SUBURBAN OPERATIONS |
| BSOR | BUFFALO SOUTHERN RAILROAD, INCORPORATED |
| CARR | CARROLLTON RAILROAD |
| CBRW | COLUMBIA BASIN RAILROAD COMPANY, INC. |
| CC | CHICAGO, CENTRAL & PACIFIC RAILROAD COMPANY |
| CERA | CENTRAL RAILROAD COMPANY OF INDIANAPOLIS |
| CFE | CHICAGO FT. WAYNE & EASTERN RAILROAD |
| CFNR | CALIFORNIA NORTHERN RAILROAD |
| CIND | CENTRAL INDIANA RAILWAY COMPANY |
| CN | Canadian National Railway Company |
| CORP | CENTRAL OREGON & PACIFIC RAILROAD |
| CP | CANADIAN PACIFIC RAILWAY |
| CR | Consolidated Rail Corporation |
| CRRX | CANON CITY ROYAL GORGE RAILROAD |
| CSCD | CASCADE AND COLUMBIA RIVER |
| CSX | CSX TRANSPORTATION, INC. |
| CUOH | COLUMBUS AND OHIO RIVER RAILROAD |
| DGNO | Dallas, Garland and Northeastern Railroad, Inc. |
| DLWR | DEPEW LANCASTER AND WESTERN RAILROAD CO. |
| DME | CANADIAN PACIFIC RAILWAY |
| DMVW | DAKOTA MISSOURI VALLEY AND WESTERN |
| DSRC | DAKOTA SOUTHERN RAILWAY COMPANY |
| EIRR | Alabama Southern Railroad |
| EJE | Elgin, Joliet & Eastern Railway Company |
| EJR | EAST JERSEY RAILROAD AND TERMINAL COMPANY |
| ELS | ESCANABA AND LAKE SUPERIOR RAILROAD COMPANY |
| ERAIL | ECONO-RAIL CORPORATION |

Respondent

| <u>Codes</u> | <u>Respondent Names</u> |
|--------------|--|
| ERC | EBENEZER RAIL CAR COMPANY |
| EVWR | EVANSVILLE WESTERN RAILWAY, INCORPORATED |
| EWG | EASTERN WASHINGTON GATEWAY RAILROAD |
| FCRD | FIRST COAST RAILROAD, INC. |
| FIR | FLATS INDUSTRIAL RAILROAD |
| FMRC | FARMRAIL CORPORATION |
| FWWR | FORT WORTH & WESTERN RAILROAD |
| GFRR | GEORGIA AND FLORIDA RAILWAY, INC. |
| GLC | GREAT LAKES CENTRAL |
| GNRR | GEORGIA NORTHEASTERN RAILROAD COMPANY |
| GRNW | Great Northwest Railroad |
| GSM | GREAT SMOKEY MOUNTAIN RAILWAY |
| GWR | GREAT WESTERN RAILWAY COMPANY |
| HESR | HURON & EASTERN RAILWAY |
| IAIS | Iowa Interstate Railroad |
| IC | ILLINOIS CENTRAL RAILROAD COMPANY |
| ICE | Iowa, Chicago & Eastern Railroad Corporation |
| IMRR | ILLINOIS & MIDLAND RAILROAD, INC. |
| IN | INDIANA NORTHEASTERN RAILROAD COMPANY |
| INPR | IDAHO NORTHERN AND PACIFIC RAILROAD |
| INRD | The Indiana Rail Road Company |
| IOCR | INDIANA & OHIO CENTRAL RAILROAD, INC. |
| IORY | INDIANA AND OHIO RAILROAD |
| IR | ILLINOIS RAILNET |
| IRLX | INTER-RAILLINK |
| ISRR | INDIANA SOUTHERN RAILROAD COMPANY |
| ISW | INDIANA SOUTHWESTERN RAILWAY |
| ITMZ | INDIANA TRANSPORTATION MUSEUM |
| KAW | KAW River Railroad |
| KBSR | KANKAKEE, BEAVERVILLE AND SOUTHERN RR. CO. |
| KCS | The Kansas City Southern Railway Company |
| KCT | KANSAS CITY TERMINAL RAILWAY COMPANY |
| KFR | KETTLE FALLS INTERNATIONAL RAILWAY, LLC |
| KO | Kansas & Oklahoma Railroad, Inc. |
| KRR | KIAMICHI RAILROAD COMPANY LLC |
| KYLE | KYLE RAILROAD COMPANY |
| LSRC | LAKE STATE RAILWAY COMPANY |
| MBAX | MASSACHUSETTS BAY COMMUTER RAILROAD |
| MBRR | MERIDIAN & BIGBEE RAILROAD COMPANY |

Respondent

| <u>Codes</u> | <u>Respondent Names</u> |
|---------------------|---|
| MCER | Massachusetts Central Railroad Corporation |
| MMA | MONTREAL, MAINE AND ATLANTIC RAILWAY, LTD |
| MMRR | MID-MICHIGAN RAILROAD COMPANY |
| MNA | MISSOURI & NORTHERN ARKANSAS RAILROAD |
| MNBR | M & B RAILROAD, LLC |
| MNCW | Metro-North Commuter Railroad Company |
| MNNR | MINNESOTA COMMERCIAL RAILWAY |
| MRL | MONTANA RAIL LINK |
| MSTR | MASSENA TERMINAL RAILROAD COMPANY |
| NCRC | NEBRASKA CENTRAL RAILROAD CO. |
| NECR | NEW ENGLAND CENTRAL RAILROAD |
| NIRC | NORTHEAST ILLINOIS REGIONAL COMMUTER RAIL |
| NVRR | NAPA VALLEY RAILROAD |
| NVWT | NAPA VALLEY WINE TRAIN |
| OHCR | OHIO CENTRAL RAILROAD COMPANY |
| PAL | PADUCAH & LOUISVILLE RAILWAY COMPANY |
| PATH | Port Authority Trans-Hudson Corporation |
| PCC | Palouse River & Coulee City Railroad Inc. |
| PGR | PROGRESSIVE RAIL, INC. |
| PHL | PACIFIC HARBOR LINE |
| PNR | PANHANDLE NORTHERN |
| PNWR | PORTLAND AND WESTERN RAILROAD INC. |
| POHC | PITTSBURGH & OHIO CENTRAL RAILROAD COMPANY |
| POS | PORT OF STOCKTON |
| POTB | PORT OF TILLAMOOK BAY RAILROAD |
| PPBD | PORT OF PALM BEACH TERMINAL |
| PRV | PEARL RIVER VALLEY RAILROAD CO. |
| PSAP | PUGET SOUND AND PACIFIC RAILROAD |
| PTRA | PORT TERMINAL RAILROAD ASSOCIATION |
| PW | PROVIDENCE AND WORCESTER RR COMPANY |
| RARW | RARUS RAILWAY COMPANY |
| RBMN | READING BLUE MOUNTAIN & NORTHERN RAILROAD |
| RCRY | RARITAN CENTRAL RAILWAY |
| RJCC | RJ CORMAN RR CO./CENTRAL KENTUCKY LINES |
| RJCL | R.J. CORMAN RAILROAD COMPANY/CLEVELAND |
| RJCM | R. J. CORMAN RAILROAD COMPANY |
| RJCR | R.J. CORMAN RAILROAD CONSTRUCTION LLC |
| RLIX | Rail Link, Inc. |
| RRVW | RED RIVER VALLEY & WESTERN RAILROAD |

Respondent

| <u>Codes</u> | <u>Respondent Names</u> |
|--------------|--|
| RSIX | RAILSERVE, INC. |
| SBS | SAGINAW BAY SOUTHERN RAILROAD |
| SCCT | SANTA CLARA COUNTY TRANSIT DISTRICT |
| SCIH | SOUTH CHICAGO & INDIANA HARBOR RAILWAY |
| SCRF | SOUTH CAROLINA CENTRAL RAILROAD CO., INC. |
| SDIY | SAN DIEGO & IMPERIAL VALLEY |
| SDNX | SAN DIEGO NORTHERN RAILWAY |
| SIM | SOUTHERN ILLINOIS AND MISSOURI BRIDGE LINE |
| SJVR | SAN JOAQUIN VALLEY RAILROAD |
| SKOL | South Kansas and Oklahoma Railroad Company |
| SLRG | SAN LUIS & RIO GRANDE RAILROAD |
| SLWC | Stillwater Central Railroad Co., Inc. |
| SOU | Norfolk Southern Railway Company |
| TASD | TERMINAL RAILWAY ALABAMA STATE DOCKS |
| TCRC | TRI-COUNTY RAIL CONSTRUCTORS |
| TCRV | TRI-CITY RAILCAR REPAIR |
| TCRZ | TRI-CITY RAILROAD COMPANY |
| TCSZ | TRIPLE CROWN SERVICES |
| TCWR | TWIN CITIES & WESTERN RAILROAD CO. |
| TIBR | Timber Rock Railroad Company, Inc. |
| TMBL | TACOMA MUNICIPAL BELT LINE RAILWAY |
| TNMR | TEXAS AND NEW MEXICO RAILROAD |
| TRRA | TERMINAL RAILROAD ASSOCIATION OF ST. LOUIS |
| TRSZ | TRIPLE CROWN RAIL SERVICES |
| TSRR | TENNESSEE SOUTHERN RAILROAD COMPANY INC. |
| TXGN | TEXAS, GONZALES & NORTHERN RAILWAY COMPANY |
| TXNW | TEXAS NORTHWESTERN RAILWAY COMPANY |
| TXPF | TEXAS PACIFICO TRANSPORTATION, LTD. |
| TYBR | TYBURN RAILROAD COMPANY |
| UP | Union Pacific Railroad Company |
| UTAH | UTAH RAILWAY COMPANY |
| VSOR | Vicksburg Southern Railroads |
| VSRR | VIRGINIA SOUTHERN RAILROAD |
| XABC | ALFRED BENESCH & COMPANY |
| XACM | ARCELORMITTAL |
| XAMC | Ames Construction Inc. |
| XAME | AMAIZING ENERGY |
| XARD | AMERICAN RAIL DISPATCHING CENTER |
| XATH | ARC TERMINALS HOLDINGS, LLC |

Respondent

| <u>Codes</u> | <u>Respondent Names</u> |
|--------------|------------------------------------|
| XBEE | Buckeye Energy Services |
| XBEQ | BATES EQUIPMENT |
| XCMQ | CENTRAL MISSOURI AGRISERVICE LLC |
| XEMR | EMR INCORPORATED |
| XGLN | GLNX CORPORATION |
| XGWT | GATEWAY TERMINALS LLC |
| XHGP | HI-Gear Products Inc |
| XITS | ITS TECHNOLOGIES & LOGISTICS |
| XJBS | JBS INCORPORATED |
| XJFI | JAKE'S FIREWORKS INC. |
| XJGS | J.G. SCOTT & SONS CONTRACTOR, INC. |
| XPRS | PROGRESS RAIL SERVICES CORPORATION |
| XRST | ROAD SAFE TRAFFIC SYSTEMS |
| XUCX | CARROLL CONSTRUCTION COMPANY |
| YSVR | Yellowstone Valley Railroad, Inc. |
| ZACE | Albemarle Corporation |
| ZACH | ASHTA CHEMICALS INC. |
| ZACR | ADM CORN PROCESSING |
| ZADR | ADM PROCESSING |
| ZAGE | AGE REFINERY, INC. |
| ZAHC | Amerada Hess Corporation |
| ZAIL | AIR LIQUIDE AMERICA CORP |
| ZAIN | Arclin |
| ZAKM | ARKEMA CANADA, INC. |
| ZAKZ | AKZO CHEMICALS, INCORPORATED |
| ZALD | ALTRA INDIANA, LLC. |
| ZALQ | Air Liquide Industrial U.S. LP |
| ZALTS | ALPHA TECHNICAL SERVICES |
| ZALX | Alexander Chemical Corp. |
| ZAMC | ARCHER DANIELS MIDLAND CO. |
| ZAMP | AMERICAN PRESIDENT INTERMODAL |
| ZAMRG | AMERIGAS |
| ZAMRI | AMERICAN RAILCAR INDUSTRIES |
| ZAND | THE ANDERSONS, INC. |
| ZAPI | APPLETON PAPERS, INC. |
| ZAPL | AMERICAN PRESIDENT LINES LTD. |
| ZARE | AVENTINE RENEWABLE ENERGY, INC. |
| ZARG | Airgas Carbonic |
| ZARX | ALL MODES, INC |

Respondent

| <u>Codes</u> | <u>Respondent Names</u> |
|--------------|--|
| ZARZ | ARIZONA CHEMICAL CO. |
| ZASC | ASHLAND INC. |
| ZASD | ASHLAND DISTRIBUTION COMPANY |
| ZASO | Astro Chemicals, Inc. |
| ZATH | ATLAS COSHOCTON ETHANOL LLC |
| ZATI | Allied Terminals, Incorporated |
| ZATK | ATKINSON OIL COMPANY |
| ZAUI | AGRIUM U.S. INC. |
| ZAUX | AUX SABLE LIQUID PRODUCTS, INC. |
| ZBAR | Barton Solvent Inc. |
| ZBAS | BASF CORPORATION |
| ZBBR | BARTON BRANDS INC. |
| ZBEH | BEHR Process Corporation |
| ZBEL | Biofuel Energy Corp. |
| ZBEX | BOREN EXPLOSIVES CO., INC. |
| ZBPAI | BP AMERICA INC. WHITING REFINERY |
| ZBPO | BP Oil Company |
| ZBTC | BULK TRANSPORTATION COMPANY |
| ZBTQ | BULK TRANSLOADING SERVICE |
| ZBVE | BONAVISTA ENERGY |
| ZBYC | Bayer CropScience LP |
| ZCAMI | CAMCO INDUSTRIES |
| ZCCM | CARGILL-CORN MILLING DIVISION |
| ZCELA | CELANESE LTD |
| ZCFER | CHICAGO, FT. WAYNE & EASTERN RAILROAD |
| ZCHEV | CHEVRON PRODUCTS |
| ZCHX | CLEAN HARBORS ENVIRONMENTAL SERVICES, INC. |
| ZCLQ | CORN LP |
| ZCLX | CHEMTRADE LOGISTICS |
| ZCMB | CLIMAX MOLYBDENUM |
| ZCMF | CHEMETALL FOOTE CORPORATION |
| ZCMK | CRUDE MARKETING & TRANSPORTATION, INC. |
| ZCODG | CODY GROUP |
| ZCOU | Country Mark |
| ZCPR | CITGO PETROLEUM CORP. |
| ZCRH | CRC Chemical |
| ZCSD | CONE SOLVENTS & DOUBLE EAGLE LUBRICANTS |
| ZCUI | Chevron USA, Inc. |
| ZCYT | Cytec Industries |

Respondent

| <u>Codes</u> | <u>Respondent Names</u> |
|--------------|---|
| ZDAK | DAK AMERICAS |
| ZDCD | DELTA COMMODITIES/DELTA TERMINAL SERVICES INC. |
| ZDCU | DOW CHEMICAL COMPANY |
| ZDET | DIDION ETHANOL |
| ZDFI | DELTA FUELS, INC. |
| ZDIA | DIAL CORPORATION |
| ZDLT | DELTA TERMINALS SERVICES |
| ZDLZ | Delong Company, Inc. |
| ZDSI | DSI TRANSPORTS, INC. |
| ZDSP | DIMMITT SULFUR PRODUCTS, LPD |
| ZDTI | Domtar |
| ZDTLP | DELTA TRADING LP |
| ZEACH | EASTMAN CHEMICAL COMPANY |
| ZEAP | EAST PENN MANUFACTURING COMPANY (OLD CODE ZFMP) |
| ZECD | EMCO CHEMICAL DISTRIBUTORS, INC. |
| ZECDP | EPCO CARBON DIOXIDE PRODUCTS |
| ZECL | ECL TERMINALS |
| ZECN | ETHYL CORPORATION |
| ZECR | EASTEX CRUDE COMPANY |
| ZEDC | EL DORADO CHEMICAL CO. |
| ZEEA | E ENERGY ADAMS |
| ZEEN | ECO ENERGY |
| ZEGCO | EASTMAN GELATINE CORPORATION |
| ZEHC | ENGELHARD CORPORATION |
| ZEKAC | EKA CHEMICALS |
| ZELE | EQUILON ENTERPRISES |
| ZEMCC | EXXONMOBIL CHEMICAL COMPANY |
| ZEMER | EMERALD SERVICES |
| ZEOB | EcoLab, Inc. |
| ZEPC | ENTERPRISE PRODUCTS OPERATING LLC |
| ZEPD | ELANTAS PDG, INC. |
| ZEQU | EQUISTAR CHEMICALS LP |
| ZERT | ERS RAIL TRANSLOAD |
| ZEVD | EVONIK DEGUSSA CORPORATION |
| ZEVS | EVANS COOPERAGE CO. |
| ZEWW | ERCO WORLDWIDE (USA), INC. |
| ZEXM | EXXON MOBIL |
| ZEZZ | EMULSICOAT, INC. |
| ZFAZ | FERTIZONA OF ARIZONA |

Respondent

| <u>Codes</u> | <u>Respondent Names</u> |
|--------------|---|
| ZFEC | FERRO CORPORATION |
| ZFIC | Flint Group North America |
| ZFLZ | FLOCRYL / SNF HOLDING COMPANY |
| ZFMC | FMC, INDUSTRIES |
| ZFTQ | THERMO FLUIDS, INC. |
| ZGAO | Gulf Atlantic Operations, LLC |
| ZGATX | GATX Corporation |
| ZGAX | GATX TERMINAL INC. |
| ZGCC | GEORGIA GULF CORP. |
| ZGCL | GEOCYCLE, LLC |
| ZGEC | GENERAL ELECTRIC RAILCAR SERVICES CORPORATION |
| ZGET | GLOBAL ETHANOL SERVICES |
| ZGGS | GALLAGHER'S FARM SERVICE |
| ZGIP | GIBSON ENERGY LTD. |
| ZGLE | Glacial Lakes Ethanol |
| ZGNS | GENEVA STEEL |
| ZGPS | GRAIN PROCESSING CORP. |
| ZGRE | GRANITE FALLS ENERGY |
| ZGRN | GOPHER RESOURCES CORPORATION |
| ZGRR | GIANT RESOURCE RECOVERY CO., INC. |
| ZGSD | GLACIER STATE DISTRIBUTION |
| ZGTE | GOLDEN TRIANGLE ENERGY |
| ZGTR | The Goodyear Tire & Rubber Co. |
| ZGYR | GIANT YORKTOWN REFINERY |
| ZHCQ | HERITAGE CRYSTAL CLEAN, LLC. |
| ZHES | HERITAGE ENVIRONMENTAL SERVICES |
| ZHGF | HEARTLAND GRAIN FUELS L.P. |
| ZHKC | H. KREVIT & COMPANY, INCORPORATED |
| ZHKD | Hawkeye Renewables LLC. |
| ZHLB | HERON LAKE BIO ENERGY, LLC |
| ZHNI | HONEYWELL INTERNATIONAL |
| ZHOI | HUSKY OIL INC. |
| ZHOW | Honeywell International, Inc. |
| ZHPR | HUNTSMAN PERFORMANCE PRODUCTS |
| ZHUD | HUIH DETERGENTS |
| ZHUS | HUSKER AG, LLC |
| ZIAF | INTERAMERICA FORWARDING COMPANY, INC. |
| ZIDM | INDUSTRIAS MONFEL, S.A. DE C.V. |
| ZIID | INTEGRITY INDUSTRIES INC |

Respondent

| <u>Codes</u> | <u>Respondent Names</u> |
|--------------|--|
| ZIM | ZIM-AMERICAN ISRAELI SHIPPING COMPANY |
| ZIMTB | IMTT BAYONNE |
| ZINO | INEOS OXIDE |
| ZINQ | INDUSTRIAL QUIMICA DE MEXICO SA DE |
| ZINS | IN-TERMINAL SERVICES CORPORATION |
| ZINTT | INTERNATIONAL MATEX TANK TERMINALS |
| ZINV | INVISTA |
| ZIOCO | INTERSTATE OIL COMPANY |
| ZIOW | IOWA ETHANOL |
| ZIP | INTERNATIONAL PAPER CO. |
| ZIPB | INNOPHOS INC |
| ZIPP | INLAND PAPERBOARD AND PACKAGING, INC. |
| ZIRL | ILLINOIS RIVER ENERGY, LLC |
| ZIRO | IRVING OIL COMPANY |
| ZISRV | INERGY SERVICES |
| ZITS | INDUSTRIAL TERMINAL SYSTEMS, INC. |
| ZITT | INTERCONTINENTAL TERMINALS COMPANY |
| ZIUC | INTERNATIONAL URANIUM CORPORATION |
| ZIVS | INVISTA S.A.R.L. |
| ZJCB | JOHNSON CONTROLS BATTERY GROUP, INC. |
| ZJHO | JONES HAMILTON COMPANY |
| ZJMH | J.M.HUBER CORPORATION |
| ZJSWG | J.S. WEST PROPANE GAS COMPANY |
| ZKAS | K.A Steel Chemicals, Inc. |
| ZKMG | KERR MCGEE CHEMICAL CORPORATION |
| ZKMT | KMTX |
| ZKMTC | KITCHENMAN TERMINAL COMPANY |
| ZKPI | KOPPERS, INC. |
| ZKSL | KILDAIR SERVICES LTD |
| ZKUG | KUGLER COMPANY |
| ZKYE | Keyera Energy Partnership |
| ZLHP | LBC HOUSTON, LP |
| ZMCQ | 3M CHEMOLITE CENTER |
| ZMED | MEDITERRANEAN SHIPPING COMPANY (USA), INC. |
| ZMERL | MERISOL |
| ZMFS | MID CONTINENT FRACTIONATION AND STORAGE |
| ZMLR | MILLER COMPRESSING COMPANY |
| ZMNG | MC NABB GRAIN INC |
| ZMON | MONSANTO COMPANY |

Respondent

| <u>Codes</u> | <u>Respondent Names</u> |
|--------------|---------------------------------------|
| ZMPT | MISSISSIPPI PHOSPHATE |
| ZMRT | Marrero Terminal LLC |
| ZMTE | MOTIVA ENTERPRISES LLC |
| ZMWC | MeadWestvaco Corporation |
| ZNEI | NORTHERN ENERGY, INC. |
| ZNSE | NUSTAR ENERGY, L.P. |
| ZNYR | NYRSTAR CLARKSVILLE, INC. |
| ZPACE | PACER STACKTRAIN |
| ZPAE | PACIFIC ETHANOL INC. |
| ZPAP | PARAMOUNT PETROLEUM CORPORATION |
| ZPBI | PBI GORDON CORPORATION |
| ZPCE | PCI CHEMICALS CANADA INC. |
| ZPCH | PIONEER CHEMICAL, INC. |
| ZPCI | PCI CHEMICALS COMPANY |
| ZPCS | PARSONS COAL COMPANY, INC. SUBSIDIARY |
| ZPCSS | PCS SALES (USA) INC. |
| ZPG | PROCTER & GAMBLE |
| ZPGM | THE PROCTER AND GAMBLE MFG. CO. |
| ZPGP | PREMIER GRINDERS & PACKERS PVT. LTD. |
| ZPGQ | GEORGIA PACIFIC CORP. |
| ZPHG | P.H. GLATFELTER COMPANY |
| ZPHI | PHIBRO-TECH, INC. |
| ZPHO | PCS PHOSPHATE COMPANY |
| ZPHS | PHILIP SERVICES |
| ZPINE | PINE MOUNTAIN CORP |
| ZPJC | CONOCOPHILLIPS |
| ZPKG | PACKAGING CORPORATION OF AMERICA |
| ZPLE | PLASTICS ENGINEERING |
| ZPLS | PLAINS LPG SERVICES, L.P. |
| ZPMN | PENOLIS METALS & CHEMICALS, INC. |
| ZPMQ | PIONEER AMERICAS INC |
| ZPNR | PENRECO CORP |
| ZPOC | P&O CONTAINERS, LTD. |
| ZPONS | PONDERAY NEWSPRINT COMPANY |
| ZPPR | PERSTORP POLYOLS INC. |
| ZPRC | PRAYON RUPEL CHEMISCHE |
| ZPRN | PRAYON, INCORPORATED |
| ZPRQ | PROSOURCE ONE |
| ZPRS | PACIFIC RAIL SERVICES |

Respondent

| <u>Codes</u> | <u>Respondent Names</u> |
|--------------|---|
| ZPRW | PROVISTA RENEWABLE FUELS, INC. |
| ZPRX | PRAXAIR, INC. |
| ZPTR | PETRO CANADA |
| ZPTRS | PACIFIC TRAILER REPAIR SERVICES |
| ZPVS | PVS CHEMICAL, INC. |
| ZRAY | RAYONIER, INC. |
| ZRCH | RECOCHEM |
| ZREBO | REBEL OIL COMPANY |
| ZREN | REACT ENVIRONMENTAL |
| ZRES | RESCAR, INC. |
| ZRET | ROMIC ENVIRONMENTAL TECHNOLOGIES, CORP. |
| ZRFE | REDFIELD ENERGY |
| ZRGL | REGIONAL ENTERPRISES |
| ZRGZ | RELIANT GASES |
| ZRHD | RHODIA, INC. |
| ZRHI | Rohm & Haas, Inc. |
| ZRKA | RKA PETROLEUM |
| ZRLI | RAIL LOGISTICS COMPANY, INC. |
| ZRLZ | RSI LEASING |
| ZRMZ | ROYAL MANUFACTURING CO. |
| ZRNP | REINHARD PETROLEUM L.L.C. |
| ZRPM | Renewable Product Marketing Group |
| ZRPQ | RIMBEY PIPE LINE CO. LTD. |
| ZRSH | RSI LOGISTICS, INC. |
| ZRSMI | RAILROAD MATERIAL SALVAGE, INC. |
| ZRSNL | RESINALL CORP. |
| ZRTE | RED TRAIL ENERGY |
| ZSEZ | NewPage Corporation/Wisconsin Rapids Mill |
| ZSIMP | SIMPLOT COMPANY |
| ZSKI | SAFETY KLEEN INC |
| ZSWA | SAPPI WARREN |
| ZSYF | SYNOIL FLUIDS |
| ZTAG | TRENTON AGRI PRODUCTS |
| ZTAM | TAMINCO |
| ZTAPI | TAKATA PETRI INC. |
| ZTAU | TAUBER OIL CO. |
| ZTBY | TERRACE BAY PULP INC. |
| ZTCL | TACTICAL CLEANING |
| ZTCN | TICONA, LLC |

Respondent

| <u>Codes</u> | <u>Respondent Names</u> |
|--------------|--|
| ZTER | TERRA INDUSTRIES |
| ZTERM | TESORO REFINING AND MARKETING CO. |
| ZTFLO | TRANSFLO CORPORATION |
| ZTGO | TEXAS GAS AND OIL LTD. |
| ZTIL | TERRA INTERNATIONAL |
| ZTIQ | TRANSCHEMICAL INC. |
| ZTKH | T K HOLDINGS INC. |
| ZTMF | TRINITY MANUFACTURING, INC. |
| ZTPA | TORAY PLASTICS AMERICA, INC. |
| ZTPU | TOTAL PETROCHEMICALS USA INC |
| ZTRH | Truck-Rail Handling, Inc. |
| ZTRN | TERRA NITROGEN |
| ZTRZ | TANGENT RAIL PRODUCTS |
| ZTSS | Tessengerlo--Kerley Co. |
| ZTTQ | TITAN TERMINAL AND TRANSPORT, INC. |
| ZTTS | TRIMAC TRANSPORTATION SERVICES, INC. |
| ZTTW | TEXAS TANK CAR WORKS INC. |
| ZUCL | UNIVAR CANADA LTD. |
| ZULS | ULS EXPRESS, INC. |
| ZUNC | THE DOW CHEMICAL COMPANY |
| ZUNIV | UNIVAR USA INC. |
| ZUPT | UPS FREIGHT |
| ZUSO | U.S. OIL COMPANY, INC. |
| ZUSOR | U.S. OIL AND REFINING COMPANY |
| ZUSQ | US AMINES |
| ZUTC | UNION TANK CAR COMPANY |
| ZVALM | VALERO MARKETING AND SUPPLY COMPANY |
| ZVPRI | Valley Proteins, Inc. |
| ZVTZ | VOPAK TERMINAL DEER PARK, INCORPORATED |
| ZWGR | Western Gas Resources, Inc. |
| ZWPO | WESTPOINT TRANSPORTATION |
| ZWWE | WESTERN WISCONSIN ENERGY, LLC |